

COUNTY OF AMADOR - RECORDS MANAGEMENT  
 RECORDS RETENTION SCHEDULE (RM3)

Department	Administrative Agency	Schedule Number (1)	02	Date	04/11/06
Division	Risk Management	Page	1 of 5	Pages	
Address	500 Argonaut Lane Jackson, CA 95642	Records Management Approval Number (2)	7961/7962/7963/7964-2006-02 BOS Res: 06-101		

ITEM NUMBER	TITLE AND DESCRIPTION OF RECORDS	M e d i a	V i t a l	A r c h i v e	RETENTION			REMARKS
					OFFICE	RC	TOTAL	
(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)
	Note: Destruction of duplicate copies is authorized pursuant to Government Code Section 26201.							
	Pursuant to Government Code Section 26202, some records more than two years old may be destroyed.							
	Retention periods shall be extended when necessary to comply with audits, civil and criminal action, and any other matter requiring the continued retention of the records.							
	County Archives shall provide access to archived County records in accordance with applicable federal and State statutes and regulations and County ordinances and policies.							
	Any records depicted in this schedule as confidential and require destruction by shredding are not eligible for review by Archives.							
	County records, both originals and copies, are COUNTY PROPERTY and are required to be kept in the appropriate offices and files. They may not be removed therefrom except for inter-office work or otherwise as necessary in the ordinary course of conducting County business. Employees may not take County records home or to some location other than their offices except as required in the ordinary course of conducting County business.							
	Based on current recycling policies, records not deemed confidential by the Agency possessing the records will be recycled unless otherwise noted.							

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ITEM NUMBER  (3)	TITLE AND DESCRIPTION OF RECORDS  (4)	M e d i a  (5)	V i t a l  (6)	A r c h i v e  (7)	RETENTION			REMARKS  (11)
					OFFICE  (8)	RC  (9)	TOTAL  (10)	
CW003	ACCOUNTS PAYABLE:***** Records related to the procurement of and payment for goods and services. Includes: purchasing records, purchase orders, claims, invoices, petty cash records, travel expense				CFY + 2	3 years	Destroy 5 years after close of FY	Auditor-Controller retains County Official Record Copy of claims. Government Code Section 26907 requires 5 year retention of claims, checks, and vouchers by Auditor-Controller. Destroy by shredding.
01	INSURANCE POLICIES, CERTIFICATES OF INSURANCE/PROOF OF INSURANCE/-ENDORSEMENTS*****	P	X		3 years	Permanent	Permanent	Pursuant to CSAC-EIA Record Retention Policy.
02	INSURANCE PROPERTY CLAIM FILES***** May include: Damage to County Owned Real Property; Automobile; Bond/Crime; Boiler & Machinery; Watercraft; Aircraft; Police Report/Recorded Statements; Photographs	P			3 months past close of claim	6 years 9 months	7 years	Pursuant to CSAC-EIA Record Retention Policy. Confidential Records. Destroy by shredding.
03	INSURANCE WORKING FILES FOR INSURANCE PROGRAMS***** May include: Property; Course of Construction; Boiler and Machinery; Crime Bond; Airport Liability; Primary General Liability; Excess Liability; Optional Excess Liability; Medical Malpractice; Vendors and Contractors Liability; Special Events; Pollution Liability; Personal Lines; Special Liability; Employee Medical; Employee Vision; Employee Dental	P			3 years past close of policy year	7 years	10 years	Pursuant to CSAC-EIA Record Retention Policy. Confidential Records. Destroy by shredding.
04	LIABILITY AUDIT REPORTS*****	P			5 years	2 years	7 years	Pursuant to CSAC-EIA Record Retention Policy. Confidential Records. Destroy by shredding.

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ITEM NUMBER (3)	TITLE AND DESCRIPTION OF RECORDS (4)	M e d i a (5)	V i t a l (6)	A r c h i v e (7)	RETENTION			REMARKS (11)
					OFFICE (8)	RC (9)	TOTAL (10)	
05	LIABILITY LOSS RUNS***** Only includes: Loss runs dated 6/30 of each year which contains all relevant data.	P			5 years	5 years	10 years	No authority discovered. Division preference due to references purposes. Used for 7 years by Auditor for charge-out purposes. Confidential records. Destroy by shredding.
06	OSHA LOGS*****	P			5 years	1 year	6 years	Pursuant to CCR, Title 8, Section 14300.33. Division preference to retain 6 years due to reference purposes Confidential records. Destroy by shredding.
07	RISK MANAGEMENT AGREEMENTS***** Include: County coverage for inmate workers; probation workers; volunteers; JPA insurance programs	P			5 years	Permanent	Permanent	No authority discovered. Division preference due to insurance program coverage reference purposes.
08	WORKERS' COMPENSATION OPEN INDEMNITY CLAIMS*****	P			See Remarks (11)	See Remarks (11)	See Remarks (11)	Due to space constraints, records may be forwarded to the Records Center as needed. Upon settlement, records shall be reclassified as Item Number (3) 11-WORKERS' COMPENSATION CLAIMS - FUTURE MEDICAL or 13-WORKERS' COMPENSATION INDEMNITY CLAIMS
09	ACTUARIAL REPORTS***** May include: Workers' Compensation and Liability	P		X	5 years	5 years	10 years	No authority discovered. Division preference. May have Underwriting value for 10 years. Forward to Archives at end of retention period.

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ITEM NUMBER (3)	TITLE AND DESCRIPTION OF RECORDS (4)	M e d i a (5)	V i t a l (6)	A r c h i v e (7)	RETENTION			REMARKS (11)
					OFFICE (8)	RC (9)	TOTAL (10)	
10	WORKERS' COMPENSATION AUDIT REPORTS*****	P			3 years	4 years	7 years	Pursuant to CSAC-EIA Record Retention Policy. Confidential records. Destroy by shredding.
11	WORKERS' COMPENSATION CLAIMS - FUTURE MEDICAL***** May include: Medical information; Attorney Client privileged information; check copies; correspondence; photographs; Workers' Compensation Appeals Board approved settlements	P			See Remarks (11)	See Remarks (11)	See Remarks (11)	Upon closure of Future Medical Claim, or upon death of employee, reclassify as Item Number (3)-13-WORKERS COMPENSATION INDEMNITY CLAIMS Confidential records. Destroy by shredding.
12	WORKERS' COMPENSATION FIRST AID CLAIMS*****	P			Close of Claim + 3 months	4 years 9 months	5 years	Pursuant to CCR, Title 8, Section 15400.2 Confidential records. Destroy by shredding.
13	WORKERS' COMPENSATION INDEMNITY CLAIMS***** May include: Medical information; Attorney Client privileged information; check copies; correspondence; photographs	P			Close of Claim + 3 months	9 years 9 months	10 years	Pursuant to CCR, Title 8, Section 15400.2. Division preference to retain for additional 5 years for reference purposes. Confidential records. Destroy by shredding.

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ITEM NUMBER (3)	TITLE AND DESCRIPTION OF RECORDS (4)	Media (5)	Vital (6)	Archive (7)	RETENTION			REMARKS (11)
					OFFICE (8)	RC (9)	TOTAL (10)	
14	WORKERS' COMPENSATION LOSS RUNS***** Only includes: Loss runs dated 6/30 of each year which contains all relevant data.	P			5 years	5 years	10 years	No authority discovered. Division preference due to references purposes. Used for 7 years by Auditor for charge-out purposes. Confidential records. Destroy by shredding.
15	WORKERS' COMPENSATION - MEDICAL ONLY CLAIMS*****	P			Close of Claim + 3 months	4 years 9 months	5 years	Pursuant to CCR, Title 8, Section 15400.2 Confidential records. Destroy by shredding.

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INSTRUCTIONS

- 1) **Schedule Number.** Each department should establish its own system of numbering schedules. Enter this number on each page.
- 2) **Records Management Approval Number.** Please leave this space blank. Records Management will assign a number and return a copy of the Records Retention Schedule (RM3) upon approval by the Board of Supervisors.
- 3) **Item Number.** Item numbers must be sequential and begin with number 1 on the first page.
- 4) **Title and Description of Records.** Exact title of the records series must be entered here. DO NOT DELETE records for a discontinued series until all such records have been destroyed or ownership transferred to another department. A description must be included if the title is not sufficiently descriptive to explain the contents to someone unfamiliar with the records. An acronym must be spelled out in full the first time it is identified on the schedule.
- 5) **Media.** Enter the appropriate code for each type of record: P-paper (except computer printout); C-computer printout; M-magnetic or electronic (computer tapes or discs, or word processing discs); D-diazo (working copy) microfilm or microfiche; S-silver (master copy) microfilm or microfiche; F-floppy disk; O-optical disk. A listing for records received in one media and converted to another media, must include a retention period for each media.
- 6) **Vital.** Enter an "X" if this listing is vital (essential) to department operations. An "X" indicates that some special method of protection from loss is required. The special method of protection must be noted under REMARKS.
- 7) **Archives.** Please leave this space blank. The Archivist will mark this space with an "X", if applicable.
- 8) **Office Retention.** Enter the length of time records will be retained in the office. For records such as active tax accounts, enter the word "Active" in column 8. Then enter the length of time (if any) the records will be held in office space when the records are no longer active. Column 11 needs to state the event, which terminates the active life of the records.
- 9) **Records Center Retention.** Enter the length of time records will be retained in the Records Center. Records should be retained in the Records Center when they are not being referenced enough to warrant their storage in the office but must still be retained for a period of time or permanently. Permanent retention must be required by law. If law does not dictate permanent retention, records series shall be re-evaluated every five (5) years.
- 10) **Total Retention.** Enter the total number of years from Columns 8 and 9.
- 11) **Remarks.** Enter any information, which will explain or clarify treatment of the records. Other helpful information includes, but is not limited to:
  - a. Events that trigger purging, updating or transferring records, or that terminates active status.
  - b. Cross references to previous retention schedules.
  - c. Type of destruction required when the records have reached the end of the retention period.
  - d. Authority that exempts disclosure of information to the public.