

RETENTION SCHEDULE FOR THE COUNTY OF SONOMA HUMAN SERVICES DEPARTMENT

DEPARTMENT	DIVISION	ITEM #	TITLE	DESCRIPTION	RECORD TYPE	CONF	VITAL	ARCH	RETENTION	REMARKS
HUMAN SERVICES	ALL	SSAD-010	ELIGIBILITY ASSISTANCE AND SOCIAL SERVICES - NON PA/PG/PC, NON-MSSP	RECORDS DOCUMENTING ELIGIBILITY/NON-ELIGIBILITY FOR PUBLIC ASSISTANCE RECEIVED BY APPLICANTS FOR HEALTH INSURANCE, FOOD, MONETARY ASSISTANCE, EMPLOYMENT, TRAINING, FOSTER CARE, ADOPTION, ADULT PROTECTIVE SERVICES, IN HOME SUPPORT, OR LINKAGES. <u>TYPICAL RECORDS INCLUDE</u> : CASE RECORDS, INTAKE INTERVIEWS, APPLICATIONS, SUPPORTING INCOME/RESOURCE DOCUMENTS, CORRESPONDENCE, FISCAL HISTORIES SUCH AS BENEFIT CARD ISSUANCE AND TRANSACTION RECEIPTS AND REPORTS.	OFF	C	V		AC + 4Y	PER ACL 11-08 MINIMUM RETENTION OF AC + 3Y, ALSO REF WIC 10851.
HUMAN SERVICES	ALL	SSAD-020	1099 RECORDS	CHILD CARE AND SERVICE PROVIDER RECORDS SUCH AS SUBSIDIZED EMPLOYMENT, LANDLORDS AND HOUSING PAYMENTS. <u>TYPICAL RECORDS INCLUDE</u> : INDIVIDUAL'S INFO. FOR 1099 PRODUCTION	OFF	C			FY + 5Y	
HUMAN SERVICES	ADMIN-PAYROLL/ PERSONNEL	SSAP-010	POSITION CONTROL	HUMAN SERVICES REPORTS USED TO TRACK NEW & SEPARATED EMPLOYEES, PROMOTIONS, & REASSIGNMENTS FOR VARIOUS TYPES OF POSITIONS. USED FOR RESEARCH. INCLUDES: HANDWRITTEN, TYPEWRITTEN, & COMPUTER GENERATED REPORTS & RELATED BACKUP.	OFF				CAL + 10Y	
HUMAN SERVICES	ADMIN SRVS - CALWIN	SSIW-030	AUDIT LOG	AUDIT LOGS OF ALL KEYSTROKES, TRANSACTIONS AND SYSTEM ACCESS/VIEWING BY EMPLOYEES.	OFF	C			7Y	
HUMAN SERVICES	ADMIN SRVS - CALWIN	SSIW-040	ERROR/RECON FILES	REPORTS OF REJECTIONS, ERRORS, AND DISCREPANCIES FROM THE MEDS SYSTEM, EXCEPTION MESSAGES BY CASE NUMBER.	OFF	C			2Y	
HUMAN SERVICES	ADULT & AGING-AAA	SSAA-080	MANAGEMENT INFO SYSTEMS - CDA	REPORTS FROM SERVICE PROVIDERS FOR CALIFORNIA DEPARTMENT OF AGING (CDA) CONCERNING OLDER AMERICANS ACT (OAA), COMMUNITY BASED SERVICES PROGRAM (CBSP), AND LINKAGES CASE MANAGEMENT CLIENTS. <u>TYPICAL RECORDS INCLUDE</u> : REPORTS, INTAKE/SCREENING FORMS, ETC.	OFF	C	V		TERM + 4Y	DESTROY AFTER FINAL SETTLEMENT OF AUDIT BY CDA OR 4Y AFTER TERMINATION OF CLIENT CASE, WHICHEVER COMES LATER.
HUMAN SERVICES	ADULT & AGING-AAA	SSAF-050	BUDGET/AUDIT RECORDS	RECORDS USED TO PREPARE AND SUPPORT THE BUDGET FILED WITH THE CALIFORNIA DEPARTMENT OF AGING AND DOCUMENT AUDITS OF SERVICE PROVIDERS. <u>TYPICAL RECORDS INCLUDE</u> : AUDITS, BUDGETS, AMENDMENTS, BACKUP, REPORTS, ETC.	OFF				FY + 7Y	IF RETENTION IS MET WHILE RECORDS ARE IN PROCESS OF BEING AUDITED BY CDA, HOLD UNTIL FINAL SETTLEMENT OF AUDIT.
HUMAN SERVICES	ADULT & AGING - IHSS PAYROLL	SSAR-080	IHSS PAYROLL AND PROVIDER RECORDS	RECORDS THAT DOCUMENT PAYROLL ISSUED ON BEHALF OF IHSS RECIPIENTS. <u>TYPICAL RECORDS INCLUDE</u> : RECORDS OF PAYMENT TO IHSS PROVIDERS, ACTIVITY REPORTS, TIME SHEETS, WAGE VERIFICATIONS, INVESTIGATIONS, ETC.	OFF	C	V		FY + 6Y	
HUMAN SERVICES	ADULT & AGING- IHSS PAYROLL	SSAR-010	INSURANCE CLAIMS	INSURANCE CLAIMS FOR IN-HOME SUPPORTIVE SERVICES (IHSS) PROVIDERS WHO ARE INJURED ON THE JOB. INCLUDES: COPIES OF COMPLETED INSURANCE FORMS.	OFF	C			CR + 5Y	
HUMAN SERVICES	ADULT & AGING-MSSP	SSAM-020	CLIENT FILES - MSSP	CASE MANAGEMENT FILES FOR MULTIPURPOSE SENIOR SERVICES PROGRAM (MSSP) CLIENTS. <u>TYPICAL RECORDS INCLUDE</u> : APPLICATIONS, INFO REQUIRED BY STATE, HEALTH & PSYCHOSOCIAL ASSESSMENTS, CORRESPONDENCE, PROGRESS NOTES, AUTHORIZATIONS, CARE PLANS, MEDICAL RECORDS.	OFF	C	V		AC + 7Y	DESTROY AFTER FINAL SETTLEMENT OF AUDITS OR 7 YRS AFTER THE END OF THE FISCAL YEAR IN WHICH CLIENT BECOMES INACTIVE, WHICHEVER COMES LATER PER MSSP MANUAL. SOME RECORDS ARE CONFIDENTIAL IN ACCORDANCE WITH WELFARE AND INSTITUTIONS CODE 10850

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HUMAN SERVICES	ADULT & AGING-PA/PG/PC	SSPB-130	ALL CASE FILES - PERSON AND/OR ESTATE	RECORDS OF ALL SERVICES PROVIDED TO CONSERVATEE AND/OR DECEDENT ESTATES AND/OR CONSERVATORSHIP OF PERSON (PROBATE, LPS AND REP PAYEE). <u>TYPICAL RECORDS INCLUDE:</u> COURT APPOINTMENTS, LEDGERS, BILLS, COMMUNICATION, DIARY ENTRIES, ACCOUNTING RECORDS, INVENTORY, MEDICAL CONSENTS, ETC.	OFF	C	V		FY + 10Y	
HUMAN SERVICES	ADULT & AGING-VETERANS SERVICE	SSAV-010	CLIENT RECORDS	RECORDS OF ALL CLIENTS SERVED BY THE VETERANS SERVICE OFFICE. <u>TYPICAL RECORDS INCLUDE:</u> PERSONAL HISTORY CHRONOLOGY AND SUMMARY INFORMATION OF CLAIMS, CW5, DVS 40 FORMS, CORRESPONDENCE, CASE NOTES.	OFF	C			50Y	DELETE INACTIVE INDIVIDUAL RECORDS AFTER 50 YEARS.
HUMAN SERVICES	ADULT & AGING-VETERANS SERVICE	SSAV-030	STATE CLAIM RECORDS - REPORTS	SUBVENTION REPORTS PROVIDED TO CAL VET USED TO SUPPORT CLAIMS FOR PAYMENT. <u>TYPICAL RECORDS INCLUDE:</u> WORKLOAD REPORTS, CERTIFICATES OF COMPLIANCE, ANY ADDITIONAL REPORTING DOCUMENTS REQUIRED BY THE STATE OF CA.	OFF	C			FY + 3Y	RETENTION MANDATED BY CAL VET PROCEDURE MANUAL FOR SUBVENTION AND MEDI-CAL COST AVOIDANCE.
HUMAN SERVICES	EMPLOYMENT AND TRAINING	PICJ-100	WORKFORCE INVESTMENT BOARD	RECORDS OF ADMINISTRATIVE ACTIVITIES OF THE WORKFORCE INVESTMENT BOARD. <u>TYPICAL RECORDS INCLUDE:</u> RECRUITMENT INFO, BYLAWS, AGENDAS, MINUTES, CORRES., FINANCIAL DISCLOSURES, CERTIFICATION, TRANSMITTAL OF NOMINEE TO BOARD OF SUPERVISORS, PLANS AND RESOLUTIONS.	OFF			A	PERMANENT	IF DEPARTMENT NO LONGER WANTS TO RETAIN RECORDS, SEND TO COUNTY ARCHIVES FOR PERMANENT RETENTION.
HUMAN SERVICES	FISCAL SERVICES-ACCOUNTING	SSFA-210	OVERPAYMENT/OVERISSUANCE FILES	RECORDS OF CLIENTS WHO HAVE OVERPAYMENTS OR OVER ISSUANCES FOR ANY BENEFIT PROGRAM. <u>TYPICAL RECORDS INCLUDE:</u> NOTICE OF ACTION (NOA), FORMS, CORRESPONDENCE, WORKSHEETS.	OFF	C			AS + 1Y	DESTROY ONE YEAR AFTER SETTLEMENT OF OVERPAYMENT/OVERISSUANCE.
HUMAN SERVICES	FISCAL SERVICES-ACCOUNTING	SSFA-400	STATE CLAIMS	ADMINISTRATIVE AND ASSISTANCE CLAIMS TO THE STATE OF CALIFORNIA FOR REIMBURSEMENT OF ADMINISTRATIVE EXPENSES AND VARIOUS AID PAYMENTS. INCLUDES: REPORTS, FORMS AND RELATED BACKUP.	OFF	C			FY + 5Y	THE CA. DEPT. OF SOCIAL SERVICES MANUAL OF POLICIES & PROCEDURES REQUIRES RECORDS BE KEPT FOR 3YRS FROM DATE THE STATE SUBMITS THE LAST EXPENDITURE REPORT TO THE FEDERAL DEPARTMENT OF HEALTH & HUMAN SERVICES
HUMAN SERVICES	FISCAL SERVICES-ACCOUNTING	SSFA-270	STATISTICAL REPORTS	REPORTS PROVIDED TO THE STATE THAT DOCUMENT PROGRAM ACTIVITY AND OVERALL PROFILE OF CASELOADS. <u>TYPICAL RECORDS INCLUDE:</u> REPORTS AND SUPPORTING BACKUP DOCUMENTATION	OFF	C		A	FY + 5Y	BACKUP DOCUMENTATION IS NOT ARCHIVAL. ONLY STATISTICAL REPORTS ARE ARCHIVAL. SEND RECORDS TO THE COUNTY ARCHIVES FOR PERMANENT RETENTION 5 YEARS AFTER CLOSE OF THE FISCAL YEAR
HUMAN SERVICES	FISCAL SERVICES-ACCOUNTING	SSFA-380	WARRANTS/REGISTERS	PAID, CANCELLED, & VOIDED WARRANTS ISSUED TO CLIENTS FOR VARIOUS TYPES OF AID. <u>TYPICAL RECORDS INCLUDE:</u> WARRANTS, REGISTERS.	OFF	C	V		FY + 5Y	ALL-COUNTY LETTER NO. 15-26 SECTION A5 PERMITS DESTRUCTION OF RECORDS AFTER 5 YEARS
HUMAN SERVICES	F Y & C-PROGRAM SUPPORT	SSCP-010	CASE FILES - ADOPTIONS	OPEN AND CLOSED CASE FILES FOR ADOPTIONS. <u>TYPICAL RECORDS INCLUDE:</u> CPS CASE FILE PLUS ORDER TERMINATING PARENTAL RIGHTS AND ADOPTION DECREE.	OFF	C			PERMANENT	
HUMAN SERVICES	F Y & C-PROGRAM SUPPORT	SSCP-020	CASE FILES - CPS	CASE FILES FOR CHILD PROTECTIVE SERVICES (CPS). <u>TYPICAL RECORDS INCLUDE:</u> CASE NOTES, CORRESPONDENCE, LEGAL DOCUMENTS, REPORTS, GRIEVANCES.	OFF	C	V		AC + 10Y	DESTROY RECORDS 10 YEARS AFTER CLOSE OF THE CASE. CASES THAT RESULT IN ADOPTION BECOME PART OF THE ADOPTION FILE.
HUMAN SERVICES	F Y & C-PROGRAM SUPPORT	SSCP-120	CHILD CARE FILES	CLOSED FAMILY FILES FOR ALTERNATE PAYMENT CHILD CARE PROGRAM. <u>TYPICAL RECORDS INCLUDE:</u> APPLICATIONS FOR CHILD CARE, PRIVACY NOTICES, RATE AGREEMENTS, NOTICES OF ACTION, CASE NOTES.	OFF	C			AC + 5Y	DESTROY RECORDS 5Y AFTER CHILDCARE ENDS.

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HUMAN SERVICES	F Y & C-PROGRAM SUPPORT	SSCP-080	LICENSING RECORDS	OPEN, PENDING, AND CLOSED FILES FOR FOSTER HOME LICENSING. <u>TYPICAL RECORDS INCLUDE</u> : APPLICATION, REFERENCES, HEALTH AND FINGER PRINT CHECKS, INSPECTION VISITS AND FOLLOWUPS, COMPLAINTS.	OFF	C			AC + 5Y	DESTROY RECORDS 5 YEARS AFTER THE FOSTER HOME CEASES TO OPERATE. ST. OF CALIF. DEPT. OF SOCIAL SERVICES COMMUNITY CARE LICENSING SUPPORT STAFF MANUAL SECTION 550 STATES THAT RECORDS MAY BE DESTROYED 5 YEARS AFTER CLOSURE.
HUMAN SERVICES	F Y & C-PROGRAM SUPPORT	SSCP-090	LICENSING RECORDS - PROBLEM	OPEN, PENDING, AND CLOSED FILES FOR FOSTER HOME LICENSING WHERE A PROBLEM HAS BEEN IDENTIFIED. <u>TYPICAL RECORDS INCLUDE</u> : LICENSING CASE FILE PLUS LEGAL AND ADMINISTRATIVE PROCEEDINGS.	OFF	C			AC + 20Y	DESTROY RECORDS 20 YEARS AFTER THE FOSTER HOME CEASES TO OPERATE. ST. OF CAL. DEPT. OF SS. COMM. CARE LIC. SUPPORT STAFF MANUAL SECT. 550 SAYS THAT REC. FOR FOSTER HOMES THAT HAVE LEGAL OR ADMIN. PROB. MAY BE DEST. AFTER 20Y AFTER CLOSE.
HUMAN SERVICES	F Y & C-PROGRAM SUPPORT	SSCP-130	REPORTS NOT LINKED TO CPS CASE FILE	COMPLAINTS, MANDATED REPORTS AND OTHER REPORTS THAT DO NOT END UP BEING PURSUED AS OFFICIAL CPS FILES. MAY INCLUDE: SUSPECTED CHILD ABUSE REPORTS, POLICE OR OTHER REPORTS, CASE NOTES, CORRESPONDENCE.	OFF	C			CAL + 1Y	
HUMAN SERVICES	F Y & C-PROGRAM SUPPORT	SSCP-140	RESOURCE FAMILY FILE	RESOURCE FAMILY FILE FOR APPLICANTS/FAMILIES. <u>TYPICAL RECORDS INCLUDE</u> : APPLICATION, CRIMINAL RECORD STATEMENTS, RISK ASSESSMENT, NOTICES OF ACTION, CORRESPONDENCE, ETC.	OFF	C	V		AE + 3Y	EVENT = SURRENDER OR RESCISSION OF APPROVAL, WITHDRAWAL/DENIAL, EXCLUSION, FINAL ADMINISTRATIVE DECISION.
HUMAN SERVICES	F Y & C-REDWOOD	SSRD-010	APPOINTMENT RECORDS	APPOINTMENT RECORDS FOR INTERVIEWS. INCLUDES: APPOINTMENT SHEETS.	OFF	C			CAL + 1Y	
HUMAN SERVICES	F Y & C-REDWOOD	SSRD-020	CASE FILES	CASE FILES FOR EACH CHILD INTERVIEWED. <u>TYPICAL RECORDS INCLUDE</u> : INTAKE FORM, CRIME AND INCIDENT REPORTS, BACKGROUND INFORMATION, INTERVIEW MATERIAL, SUPPORT SERVICES, CORRESPONDENCE.	OFF	C	V		AC + 20Y	
HUMAN SERVICES	F Y & C-VMCH	SSVM-010	CLIENT CASE FILES	FILES MAINTAINED BY STAFF DOCUMENTING CLIENTS' HISTORY IN THE VOMCH PROG. <u>TYPICAL RECORDS INCLUDE</u> : PHOTOS, FACE SHEET, JUVENILE COURT RECS., AUTH. FOR MEDICAL SERVICES, DAILY BEHAVIOR CHT., PROPERTY LIST, FOSTER HOME RELEASE FORM, INCIDENT REPORTS, ETC.	OFF	C	V		DOB + 23Y	DESTROY RECORDS 23 YEARS AFTER DATE OF BIRTH.
HUMAN SERVICES	F Y & C-VMCH	SSVM-030	DAILY LOGS AND REPORTS	INFORMATION ON THE CLIENT POPULATION IN THE FACILITY. <u>TYPICAL RECORDS INCLUDE</u> : DAILY LOG, COMMUNICATION LOGS, MONTHLY REPORTS, ETC.	OFF	C			CAL + 5Y	
HUMAN SERVICES	HUMAN RESOURCES	SSHR-010	CIVIL RIGHTS COMPLAINTS	RECORDS OF COMPLAINTS FILED WITH THE HUMAN SERVICES DEPARTMENT ALLEGING VIOLATIONS OF CIVIL RIGHTS, AND THE RESULTING INVESTIGATION. <u>TYPICAL RECORDS INCLUDE</u> : COMPLAINT, FACE SHEET, INVESTIGATIVE NARRATIVE, CORRESPONDENCE, DOCUMENTATION PROVIDED BY CLIENT, OPENING AND FINDINGS LETTERS.	OFF	C			FY + 3Y	
HUMAN SERVICES	HUMAN RESOURCES	SSHR-020	STATE HEARING DECISIONS	RECORDS OF APPEALS FILED BY HUMAN SERVICES PROGRAM CLIENTS/APPLICANTS. <u>TYPICAL RECORDS INCLUDE</u> : REQUEST FOR HEARINGS, APPEALS, DECISIONS, OTHER CORRESPONDENCE.	OFF	C			FY + 3Y	
HUMAN SERVICES	SPECIAL INVESTIGATIONS UNIT	SSSI-010	SIU - FRAUD	FRAUD INVESTIGATIONS THAT RESULT IN CRIMINAL PROSECUTIONS OR INTENTIONAL PROGRAM VIOLATIONS (IPV). <u>TYPICAL RECORDS INCLUDE</u> : REFERRAL, INVESTIGATION NOTES, FINDINGS, REPORTS, COMPUTATION SHEETS, ETC.	OFF	C			PERMANENT	PER ACL 15-26 - RECORDS NECESSARY TO SUSTAIN AN IPV SHOULD BE RETAINED THROUGH THE LIFE OF THE INDIVIDUAL.