



Ohio History Connection
 State Archives of Ohio
 Local Government Records Program
 800 E. 17th Avenue
 Columbus, OH 43211-2474

NOV 27 2015

STATE AND LOCAL
 GOVERNMENT RECORDS

RECORDS RETENTION SCHEDULE (RC-2)- Part 1

See instructions before completing this form. Must be submitted with PART 2

Section A: Local Government Unit

Alcohol, Drug Addiction and Mental Health Services (ADAMHS) Board for Montgomery County

(local government entity)

Helen Jones-Kelley

(unit)

Executive Director

(signature of responsible official)

Helen Jones-Kelley

(name)

(title)

(date)

11/19/15

Section B: Records Commission

Montgomery County Records Commission

(937) 225-6366

(telephone number)

117 S. Main Street, PO Box 972
 (address)

Dayton, OH
 (city)

45422
 (zip code)

Montgomery
 (county)

To have this form returned to the Records Commission electronically, include an email address:

ratcliff@mcOhio.org

I hereby certify that our records commission met in an open meeting, as required by Section 121.22 ORC, and approved the schedules listed on this form and any continuation sheets. I further certify that our commission will make every effort to prevent these records series from being destroyed, transferred, or otherwise disposed of in violation of these schedules and that no record will be knowingly disposed of which pertains to any pending legal case, claim, action or request. This action is reflected in the minutes kept by this commission.

Records Commission Chair Signature

Date

Bob Lieberman

11-23-15

Section C: Ohio History Connection - State Archives

Amanda Hindler

Signature

Local Government Records Archivist

Title

12/2/15

Date

Section D: Auditor of State

Martin E. Maus

Signature

Records Manager

Title

12-24-15

Date

Please Note: The State Archives retains RC-2 forms permanently. It is strongly recommended that the Records Commission retain a permanent copy of this form

Section E: RECORDS RETENTION SCHEDULE (RC-2) – Part 2

See instructions before completing this form.

Alcohol, Drug Addiction and Mental Health Services (ADAMHS) Board for Montgomery County

(local government entity)

(unit)

(1) Schedule Number	(2) Record Title and Description	(3) Retention Period	(4) Media Type	(5) For use by Auditor of State or LGRP	(6) RC-3 Required by LGRP
15-1	Accident Reports/Files (PERRP): Bodily injury to non-employees and employee injury reports	6 years provided no action pending.	Paper		<input type="checkbox"/>
15-2	Accounts Receivable Ledgers and Documents	3 years provided audited.	Paper	Audited means: the years encompassed by the records have been audited by the Auditor of State and the audit report has been released pursuant to Sec. 117.26 O.R.C.	<input type="checkbox"/>
15-3	Agency Audits	5 fiscal years	Paper		<input type="checkbox"/>
15-4	Application for Funding	Microfilm after 3 years.	Paper		<input type="checkbox"/>
15-5	Application for Funding	Permanent	Microfilm		<input type="checkbox"/>
15-6	Agendas: Committee and Board Meetings	2 years	Paper		<input type="checkbox"/>
15-7	Agendas: Committee and Board Meetings	2 years	Electronic		<input type="checkbox"/>
15-8	Annual Board Budget	5 years	Paper		<input type="checkbox"/>
15-9	Annual Board Budget	5 years	Electronic		<input type="checkbox"/>
15-10	Annual Reports	Permanent	Paper		<input checked="" type="checkbox"/>
15-11	Application for Employment: Unsuccessful/Not Hired	1 year after receipt	Paper		<input type="checkbox"/>
15-12*	Audiovisual/PR and Training Materials	Until information is superseded or replaced. Appraise for historical value.	Various		<input type="checkbox"/>
15-13	Agency Audit Materials: Medicaid and/or Non-Medicaid	6 years	Paper		<input type="checkbox"/>

Section E: RECORDS RETENTION SCHEDULE (RC-2) – Part 2*See instructions before completing this form.*

Alcohol, Drug Addiction and Mental Health Services (ADAMHS) Board for Montgomery County
 (local government entity) (unit)

15-14	Agency Audit Materials: Medicaid and/or Non-Medicaid	6 years	Electronic	<input type="checkbox"/>
15-15	Annual Provider Client Satisfaction	5 Years	Paper	<input type="checkbox"/>
15-16	Audit Reports: Federal, State and internal	5 years	Paper	<input type="checkbox"/>
15-17*	Badges and IDs	Turn in upon termination of employment	Paper	<input type="checkbox"/>
15-18	Bids—Successful	A. Copies: 3 years after expiration of contract. B. Original: 15 years after expiration of contract.	Paper	<input type="checkbox"/>
15-19	Bids—Unsuccessful	2 years after letting contract	Paper	<input type="checkbox"/>
15-20*	Blank Forms	Until obsolete or superseded	Paper	<input type="checkbox"/>
15-21*	Blank Forms	Until obsolete or superseded	Electronic	<input type="checkbox"/>
15-22	Board Community Plan	Permanent	Paper	<input checked="" type="checkbox"/>
15-23	Board Community Plan	Permanent	Electronic	<input checked="" type="checkbox"/>
15-24	Board Member Information	Permanent	Paper	<input checked="" type="checkbox"/>
15-25	Board Policies and Procedures	Permanent until superseded	Paper	<input type="checkbox"/>

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Alcohol, Drug Addiction and Mental Health Services (ADAMHS) Board for Montgomery County

(local government entity)

(unit)

15-26	Board Policies and Procedures	Permanent until superseded	Electronic		<input type="checkbox"/>
15-27	Budget Preparation Documents: Working papers	4 years	Paper		<input type="checkbox"/>
15-28	Budget Preparation Documents: Working papers	4 years	Electronic		<input type="checkbox"/>
15-29*	Bulletins, Posters and Notices to Employees	Until no longer administratively necessary	Paper		<input type="checkbox"/>
15-30	Cash Book/Journals	3 years provided audited	Paper		<input type="checkbox"/>
15-31	Check Registers	3 years provided audited	Paper		<input type="checkbox"/>
15-32	Civil Commitment Records	6 years after last court entry	Paper		<input type="checkbox"/>
15-33	Litigation-Related Records	5 years after case is closed and appeals are exhausted	Paper		<input type="checkbox"/>
15-34	Client Grievances	7 years	Paper		<input type="checkbox"/>
15-35	Continuing Education, Class, Seminars, Training, Attendance Records (CEU)	Place in Personnel File (See 15-73)	Paper		<input type="checkbox"/>
15-36	Contracts and Applications for Funding: With agencies and/or party vendors	15 years after contract expires	Paper		<input type="checkbox"/>
15-37	Correspondence: A. Routine Form Letters B. General C. Executive	A. 1 year B. 2 years C. 5 years	Paper		<input type="checkbox"/>

Audited means: the years encompassed by the records have been audited by the Auditor of State and the audit report has been released pursuant to Sec. 117.26 O.R.C.

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15-39	County Property Records: A. Maps, Deeds, Mortgage Records B. Mortgage Financing Statements and Other Fiscal Statements	A. Permanent B. 3 years provided audited	Electronic		<input checked="" type="checkbox"/> (CA) <input type="checkbox"/>
15-40	County Property Records: A. Maps, Deeds, Mortgage Records B. Mortgage Financing Statements and Other Fiscal Statements	A. Permanent B. 3 years provided audited	Paper		<input checked="" type="checkbox"/> (CA) <input type="checkbox"/>
15-41	Department Policies and Procedures	Permanent until superseded	Electronic		<input type="checkbox"/>
15-42	Department Policies and Procedures	Permanent until superseded	Paper		<input type="checkbox"/>
15-43	Desk/Appointment Calendar	3 months after the end of the calendar year	Electronic		<input type="checkbox"/>
15-44	Desk/Appointment Calendar	3 months after the end of the calendar year	Paper		<input type="checkbox"/>
15-45	Disaster Plans	Until updated or superseded	Electronic		<input type="checkbox"/>
15-46	EEO Reports	2 years from date of personnel action or until any discrimination charge is resolved	Electronic		<input type="checkbox"/>

Audited means: the years encompassed by the records have been audited by the Auditor of State and the audit report has been released pursuant to Sec. 117.26 O.R.C.

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15-47	EEO Reports	2 years from date of personnel action or until any discrimination charge is resolved	Paper		<input type="checkbox"/>
15-48*	Electronic Mail (E-Mail)	Retain according to content	Electronic		<input type="checkbox"/>
15-49*	Equipment Maintenance Records	Life of equipment	Paper		<input type="checkbox"/>
15-50	Expense Records—Employee	3 years	Paper		<input type="checkbox"/>
15-51*	Fax A. Incoming Faxes B. Messages	Retain according to content	Paper		<input type="checkbox"/>
15-52	Grant Files: Supporting financial records or procedures.	6 years provided all State and Federal audits have been conducted, the audit reports released and all litigation claims or audit findings have been resolved.	Electronic		<input type="checkbox"/>

Audited means: the years encompassed by the records have been audited by the Auditor of State and the audit report has been released pursuant to Sec. 117.26 O.R.C.

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15-53	Grant Files: Supporting financial records or procedures.	6 years provided all State and Federal audits have been conducted, the audit reports released and all litigation claims or audit findings have been resolved.	Paper		<input type="checkbox"/>
15-54	HIPAA- Required Documentation: e.g. authorization forms, privacy notices, requested restrictions, etc.	The longer of 6 years from the date of creation or date last in effect	Electronic		<input type="checkbox"/>
15-55	HIPAA- Required Documentation: e.g. authorization forms, privacy notices, requested restrictions, etc.	The longer of 6 years from the date of creation or date last in effect	Paper		<input type="checkbox"/>
15-56	Insurance Policies	5 years	Paper		<input type="checkbox"/>
15-57*	Inventory Equipment	3 years	Electronic		<input type="checkbox"/>
15-58	Invoices and Vouchers—Paid	County Auditor record copy: 3 years provided audited	Electronic		<input type="checkbox"/>

Audited means: the years encompassed by the records have been audited by the Auditor of State and the audit report has been released pursuant to Sec. 117.26 O.R.C.

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 (local government entity) (unit)

15-59	Invoices and Vouchers—Paid	County Auditor record copy: 3 years provided audited	Paper		<input type="checkbox"/>
15-60	Job Descriptions	Until superseded or classification abolished	Electronic		<input type="checkbox"/>
15-61	Leases: A. Equipment B. Real Estate	A. 2 years after expiration B. 5 years after expiration provided audited	Electronic	Audited means: the years encompassed by the records have been audited by the Auditor of State and the audit report has been released pursuant to Sec. 117.26 O.R.C.	<input type="checkbox"/>
15-62	Leases: A. Equipment B. Real Estate	A. 2 years after expiration B. 5 years after expiration provided audited	Paper		<input type="checkbox"/>
15-63	Licenses, Permits, Certifications	1 year after expiration	Paper		<input type="checkbox"/>
15-64	Mailing Lists—Non-PHI	Until updated, superseded or obsolete	Electronic		<input type="checkbox"/>
15-65	Management/Operations Reports: Monthly, Quarterly, Consultant	5 years	Electronic		<input type="checkbox"/>
15-66	Management/Operations Reports: Monthly, Quarterly, Consultant	5 years	Paper		<input type="checkbox"/>
15-67	Material Safety Sheets	Until superseded	Electronic		<input type="checkbox"/>
15-68	Meeting Notices: All meetings where board sends out notices and keeps minutes.	1 year	Paper		<input type="checkbox"/>

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Alcohol, Drug Addiction and Mental Health Services (ADAMHS) Board for Montgomery County
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15-69	Minutes of Meetings—Board and Committee Meetings A. Official Copy B. Audio/Video Recordings C. Drafts/Notes	A. Permanent B. 1 year provided information concerning the meeting is substantially transcribed to hardcopy. C. Until official minutes are approved.	A. Microfilm B. Tape C. Paper and Electronic	<input checked="" type="checkbox"/> (A)
15-70	Minutes of Meetings A. Official Copy B. Audio/Video Recordings C. Drafts/Notes	A. Permanent B. 1 year provided information concerning the meeting is substantially transcribed to hardcopy. C. Until official minutes are approved.	A. Microfilm B. Tape C. Paper and Electronic	<input checked="" type="checkbox"/> (A)
15-71	Major Unusual Incidents	7 years	Paper	<input type="checkbox"/>
15-72	Pay-Ins to Treasury Records	3 years provided audited	Electronic	<input type="checkbox"/>
15-73	Pay-Ins to Treasury Records	3 years provided audited	Paper	<input type="checkbox"/>

Audited means: the years encompassed by the records have been audited by the Auditor of State and the audit report has been released pursuant to Sec. 117.26 O.R.C.

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Alcohol, Drug Addiction and Mental Health Services (ADAMHS) Board for Montgomery County

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15-74	Payroll Records: Including name, address, SSN, hours worked each day and week, wages paid, payroll deductions/additions, wage rate tables, requests/dates/hours of FMLA leave.	3 years from date of last entry provided audited. Auditor maintains payroll history permanently	Electronic	Audited means: the years encompassed by the records have been audited by the Auditor of State and the audit report has been released pursuant to Sec. 117.26 O.R.C.	<input type="checkbox"/>
15-75	Payroll Records: Including name, address, SSN, hours worked each day and week, wages paid, payroll deductions/additions, wage rate tables, requests/dates/hours of FMLA leave.	3 years from date of last entry provided audited. Auditor maintains payroll history permanently	Paper		<input type="checkbox"/>
15-76	Personnel—Disciplinary Action: Formal	Retain until termination then scan to microfilm for permanent record.	Electronic		<input type="checkbox"/>
15-77	Personnel—Disciplinary Action: Formal	Retain until termination then scan to microfilm for permanent record.	Paper		<input type="checkbox"/>
15-78	Personnel—Disciplinary Action: Formal	Permanent	Microfilm		<input type="checkbox"/>
15-79	Personnel—Employee Files	Retain until termination then scan to microfilm for permanent record.	Electronic		<input type="checkbox"/>

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15-80	Personnel—Employee Files	Retain until termination then scan to microfilm for permanent record.	Paper		<input type="checkbox"/>
15-81	Personnel—Employee Files	Permanent	Microfilm		<input type="checkbox"/>
15-82	Personnel—Short Term Records: Supervisory Notes/Disciplinary Action	2 years if no other disciplinary action imposed during that time	Paper		<input type="checkbox"/>
15-83	Personnel—Leave Requests: Sick and Vacation	3 years provided audited	Paper		<input type="checkbox"/>
15-84	PHI (Protected Health Information) Records—Paper: Claims, enrollments	7 years (HIPAA)	Paper		<input type="checkbox"/>
15-85	PHI (Protected Health Information) Records—Electronic: Data bases and electronic data processing media	7 years and erase (HIPAA)	Electronic		<input type="checkbox"/>
15-86	Preliminary Drafts of Letters, Memoranda, Worksheets, Reports, and the Preparation of Recorded Information	Destroy when no longer of administrative value	Electronic		<input type="checkbox"/>
15-87	Preliminary Drafts of Letters, Memoranda, Worksheets, Reports, and the Preparation of Recorded Information	Destroy when no longer of administrative value	Paper		<input type="checkbox"/>
15-88	Press/News Releases	3 years	Electronic		<input checked="" type="checkbox"/>
15-89	Press/News Releases	3 years	Paper		<input checked="" type="checkbox"/>

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Alcohol, Drug Addiction and Mental Health Services (ADAMHS) Board for Montgomery County

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15-90	Professional Association Records	Until no longer of administrative value	Paper		<input type="checkbox"/>
15-91	Public Records Requests Logs	2 years	Paper	Audited means: the years encompassed by the records have been audited by the Auditor of State and the audit report has been released pursuant to Sec. 117.26 O.R.C.	<input type="checkbox"/>
15-92	Purchase Orders and Requisitions	3 years provided audited	Electronic		<input type="checkbox"/>
15-93	Purchase Orders and Requisitions	3 years provided audited	Paper		<input type="checkbox"/>
15-94	Records Management Documents: RC-1, RC-2, RC-3	Permanent	Paper		<input type="checkbox"/>
15-95	Records of Receipt and Expenditures	10 years			<input type="checkbox"/>
15-96	Records Requests: HIPAA/PHI	6 years	Paper		<input type="checkbox"/>
15-97*	Reference Library Materials	Until superseded, obsolete or replaced	Paper		<input type="checkbox"/>
15-98	Surveys	10 Years	Paper		<input type="checkbox"/>
15-99	Table of Organization and Organization Charts	Permanent	Electronic		<input type="checkbox"/>
15-100	Table of Organization and Organization Charts	Permanent	Paper		<input type="checkbox"/>
15-101	Telephone System A. Charges/Bills B. Documentation C. Service Record D. System Equipment Inventory	A. 2 years provided audited B. Life of system C. 2 years D. Continually updated, retain superseded data 1 year	Paper		<input type="checkbox"/>

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15-102	Treatment Files—Adult: Mental Health, Chemical Addiction and Dependency	8 years from the last date of service	Paper		<input type="checkbox"/>
15-103	Treatment Files—Child: Mental Health, Chemical Addiction and Dependency	The longer of 8 years from the last date of service OR the age of majority plus 4 years	Paper		<input type="checkbox"/>
15-104*	Voice Mail A. Messages B. System Documentation	A. Until no longer administratively necessary B. Life of system	Electronic		<input type="checkbox"/>
	MACSIS (Multi-Agency Community Services Information System) Data & Processing				
15-105	Remittance Advices: Pass-thru to providers.	7 years	Electronic		<input type="checkbox"/>
15-106	Provider Data Error Submission Reports	7 years	Electronic		<input type="checkbox"/>
15-107	Recall Reports	5 years	Electronic		<input type="checkbox"/>
15-108	UCI (Unique Client Identifier) Request Forms	5 years	Electronic		<input type="checkbox"/>
15-109	Weekly Error and Processing Log for ADAMHS Board	7 years	Electronic		<input type="checkbox"/>
15-110	Needs Assessments	20 years	Paper		<input type="checkbox"/>
15-111	Outcomes Information	5 years	Electronic		<input type="checkbox"/>

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Alcohol, Drug Addiction and Mental Health Services (ADAMHS) Board for Montgomery County
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	QI (Quality Improvement), Research & Evaluation				
15-112	Annual Report	Permanent	Paper		<input checked="" type="checkbox"/>
15-113	Reports: Quarterly, periodic, etc.	5 years	Paper		<input type="checkbox"/>
15-114	AoD (Alcohol and Other Drug) Quarterly Provider QI Reports	5 years	Paper		<input type="checkbox"/>
15-115	AoD Quarterly Provider Waitlist	5 years	Paper		<input type="checkbox"/>
15-116	AoD Quarterly Performance Outcomes Report	1 year after digital entry	Paper		<input type="checkbox"/>
15-117	Annual Provider Client Satisfaction Survey	1 year after digital entry	Paper		<input type="checkbox"/>
15-118	Annual Provider Client Satisfaction Survey and Mental Health Outcomes (digital entry)	15 years	Electronic		<input type="checkbox"/>
15-119	Forensic Monitor Records	8 years	Paper		<input type="checkbox"/>
15-120	IRS I-9 Forms	3 years after date of hire or 1 year after termination whichever is later. (8 CFR 274a.2)	Paper		<input type="checkbox"/>
15-121	Strategic Plan	Permanent	Paper		<input checked="" type="checkbox"/>

Notes:

- Any record that is potentially relevant to pending litigation shall be retained beyond its retention period until actual relevancy to the litigation can be adequately determined. If found to be related to litigation, the record should be retained for five years after the case is closed and appeals are exhausted.
- "Audited" and "provided audited" means the records have been audited by the Ohio Auditor of State and the audit report has been released pursuant to Section 117.26 of the Ohio Revised Code.

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- Schedule numbers that do not have an asterisk CANNOT be destroyed unless there is a completed/approved Record of Destruction form. These are items that can be subpoenaed into court.