



Department of Education and Early Development
 Division of Libraries, Archives & Museums
 Alaska State Archives/Records & Information Management Service (ASA/RIMS)
 P.O. Box 110525, 141 Willoughby Avenue
 Juneau, AK 99811-0525
 T: (907) 465-2317/2275
 F: (907) 465-2465

STATE OF ALASKA

Records Retention and Disposition Schedule

Agency I.D: 168 Schedule No: 06-168.1

DEPARTMENT OF HEALTH AND SOCIAL SERVICES
 DIVISION OF BEHAVIORAL HEALTH
 168 - PREVENTION & EARLY INTERVENTION

The Agency will follow retention periods for common records as listed in the most current State of Alaska General Administrative Records Retention Schedule (GARRDS), unless those records have been listed on this schedule.

Unless otherwise noted all record series are confidential under 42 USC 4582, CFR Part 2 (1975). This schedule supersedes #65305.

All records that have potential permanent legal and historical value may be reviewed by the State Archivist for possible permanent retention in the State Archives in accordance with AS 40.21.030.

Under 4 AAC 59.005, it is the responsibility of agencies to ensure that records created and maintained in electronic systems remain accessible and durable for their prescribed retention period. This requires addressing the issues of periodic media refreshment, digital migration strategies and security plans. Backups produced for system recovery purposes do not serve a recordkeeping function or substitute for archived business essential duplicates.

Pursuant to the provisions of AS 40.21 and 4 AAC 59, the records listed on this schedule are approved for retention and disposition as indicated.

Division Director	Signature of Division Director <i>Original signature held on file.</i>	Date 4/24/2009
Attorney General/Designee <i>Original signature held on file.</i>	Date 7/22/2009	Commissioner of Administration/Designee <i>Original signature held on file.</i> Date 8/13/2009
State Archivist <i>Original signature held on file.</i>	Date 8/17/2009	Records Analyst <i>Original signature held on file.</i> Date 4/20/2009

Item No - Record Series Title & Description	Format	Total Retention	Bus. Ess.	Remarks
<p>001.1 - Client Files (Original) Records series consists of court judgments, referral slips, testing records used to determine appropriate treatment, release forms, assignment to treatment forms, correspondence and reports from the treatment agency.</p>		M	Y	<p>C = Until microfilmed.</p> <p>Original records may be disposed after the film is certified "true and correct." Anchorage is the only office that microfilms its client files. Work copy microfilm is distributed to the Anchorage and Juneau Division of Behavioral Health offices.</p> <p>Some information is input into the Client Tracking System, which tracks assignments that an alcohol offender must complete as part of his court sentence. This system also creates financial records for each court case including invoices, receipts and balance statements.</p>
<p>001.2 - Client Files (Master Microfilm) Records series consists of court judgments, referral slips, testing records used to determine appropriate treatment, release forms, assignment to treatment forms, correspondence and reports from the treatment agency.</p>	M	10	Y	
<p>001.3 - Client Files (Work Copy Microfilm) Records series consists of court judgments, referral slips, testing records used to determine appropriate treatment, release forms, assignment to treatment forms, correspondence and reports from the treatment agency.</p>	M	10	Y	<p>Work copy microfilm is distributed to the Anchorage and Juneau Division of Behavioral Health offices.</p>
<p>002 - Field Office Client Files This series is normally maintained by the grantee treatment agency (provider); however, in the case of business failure or cessation of treatment programs, the files may be transferred to Prevention & Early Intervention for retention.</p> <p>Arranged alphabetically by defunct agency.</p>		C+10		<p>C = Until the client completes program.</p> <p>Refer to item #001.</p>

You can transfer records to an approved records center at any point - complete a Records Transfer List (RTL) and submit it to your Records Officer for approval.

<p>Retention Key</p> <p>A = Until Audit C = Cut-off event/date CY = Current Year CFY = Current Fiscal Year PA = Permanent (Transfer to State Archives)</p> <p>PO = Permanent (Retain in agency office) S = Until Scanned T = Transfer TO = Term of Office</p>	<p>Format Key</p> <p>H = Hardcopy E = Electronic D = Database M = Microform</p>	<p>Bus. Ess = Business Essential</p> <p>1. Are necessary for emergency response 2. Are necessary to resume or continue operations</p>
---	---	---

Item No - Record Series Title & Description	Format	Total Retention	Bus. Ess.	Remarks
<p>003 - Client Treatment Choice Sheets This series documents the client's choice of treatment options and notification of treatment agencies and charges. Arranged chronologically.</p>		1		
<p>004 - Tobacco Compliance Investigation Records (Original & Electronic) Includes Premises Inspections, Enforcement Compliance Investigations and Synar Compliance Investigations. Records consist of court judgments, citations, correspondence and reports.</p>		C+7		C = Until case is closed. Certain data is entered into the enforcement database.

You can transfer records to an approved records center at any point - complete a Records Transfer List (RTL) and submit it to your Records Officer for approval.

<p align="center">Retention Key</p> <p>A = Until Audit PO = Permanent (Retain in agency office) C = Cut-off event/date S = Until Scanned CY = Current Year T = Transfer CFY = Current Fiscal Year TO = Term of Office PA = Permanent (Transfer to State Archives)</p>	<p align="center">Format Key</p> <p>H = Hardcopy E = Electronic D = Database M = Microform</p>	<p>Bus. Ess = Business Essential</p> <p>1. Are necessary for emergency response 2. Are necessary to resume or continue operations</p>
--	--	---