

STATE OF ALASKA

RECORDS RETENTION SCHEDULE

Department of Health and Social Services
Division of Behavioral Health
Prevention and Early Intervention

Authority: Under AS 40.21.060(4) and AS 40.21.110, the agency shall retain and otherwise manage records in accordance with this schedule.

If this schedule does not cover a record, the agency shall retain and otherwise manage records in accordance with the most current *State of Alaska General Administrative Records Retention Schedules*. If this schedule and the *General Administrative Records Retention Schedules* do not cover a record, the agency must obtain approval to dispose of the record from the Records and Information Management Service.

Disposition: The agency may not destroy permanent records. Notwithstanding any retention period in this schedule or the *Alaska General Records Retention Schedules*, the agency must retain records relevant to ongoing or foreseeable investigations, audits or lawsuits, or responsive to a pending public records request.

Archival Value: Under AS 40.21.030(a)(3), the State Archivist may review for permanent retention all records with potential permanent legal or historical value. All records created prior to 1960 must be retained for review by the Alaska State Archives. This retention schedule does not authorize the transfer of records to any repository other than the Alaska State Archives (AS 40.21.030).

Format and Media: Under AS 40.21.150(6), the retention periods listed on this schedule apply to all electronic and non-electronic records. The agency may store a record in any format as long as the record remains readable and accessible for its retention period. See 4 AAC 59.005.

Accordingly, the agency must, as necessary, periodically update storage media, adopt migration strategies, and implement security plans. Backups produced for data recovery purposes do not serve a recordkeeping function or substitute for archived business essential duplicates.

Essential Designation: Under AS 40.21.060, the agency shall identify, segregate and protect essential records vital to the continuing operation of the agency in the event of natural or man-made disasters. See 4 AAC 59.005(a)(8) and 4 AAC 59.010(5)(E).

Copies: Do not retain copies preserved for convenience or for business essential or data recovery purposes for longer than the retention period of the record copy. See AS 40.21.150(6).

Supersedence: This schedule supersedes: 06-168.1, Dept. of Health & Social Services; Division of Behavioral Health; Prevention & Early Intervention

Pursuant to the provisions of AS 40.21.030 (b)(10) and 4 AAC 59.005, the records listed on this schedule are approved for retention and disposition as indicated.		Agency CEO/ Division Director <i>Original signature held on file.</i> Gennifer Moreau-Johnson, Director, Behavioral Health, Dept. of Health and Social Services	Date: 7/20/2020
Attorney General/Designee <i>Original signature held on file.</i> Alan Birnbaum, Chief Assistant Attorney General, Department of Law	Date: 8/28/2020	Commissioner of Administration/Designee <i>Original signature held on file.</i> Hans Zigmund, Director, Division of Finance, Department of Administration	Date: 8/5/2020
State Archivist <i>Original signature held on file.</i> Karen Gray, State Archivist	Date: 9/8/2020	Records Analyst <i>Original signature held on file.</i> Jennifer Treadway, State Records Manager	Date: 10/13/2020

Department of Health and Social Services; Division of Behavioral Health; Prevention and Early Intervention

Item #	Record Series Title and Description	Retention	Essential	Retention Notes
1	<p>Client Files</p> <p>This series consists of release forms, assignment to treatment forms, and copies of court judgments, referral slips, testing records used to determine appropriate treatment, correspondence, and reports from the treatment agency.</p>	Permanent	Yes	<p>Retain records permanently in the office.</p> <p>Retention: 7 AAC 85.900</p>
2	<p>Field Office Client Files</p> <p>This series is normally maintained by the grantee treatment agency (provider). In the case of business failure or cessation of treatment programs, records may be transferred to Prevention and Early Intervention for retention.</p> <p>Arranged alphabetically by defunct agency.</p>	10	Yes	<p>Dispose of records ten years after client is discharged.</p>
3	<p>Tobacco Compliance Investigation Records</p> <p>This series consists of premises inspections, enforcement compliance investigations, and Synar compliance investigations. Records may include, but are not limited to, court judgments, citations, correspondence, and reports.</p>	7		<p>Dispose of records seven years after case is closed.</p> <p>Some information from source documents may be retained in Alcohol and Marijuana Beverage Control database.</p>
4	<p>Privacy Notices</p> <p>Notices describe medical, drug, and alcohol information and how clients can access this information.</p>	6		<p>Dispose of records six years after client is discharged.</p>
5	<p>Alaska Public Safety Information Network (APSIN) Reports</p> <p>Reports contain criminal history information from the Department of Public Safety.</p>	6 months		<p>Dispose of records 6 months after client is discharged.</p>

Inactive Records may be transferred to an approved records center at any time. Complete a Records Transfer List (RTL) and submit to your Records Officer for approval.