

## 5.5.16 Records Management Program

### (a) Policy

California Correctional Health Care Services (CCHCS) and Division of Health Care Services (DHCS) shall establish and maintain a Records Management Program consistent with state and agency statutory requirements. All official records shall be retained for the minimum periods stated in the STD 73, Records Retention Schedules, as approved by California Records and Information Management (CalRIM) pursuant to California Government Code, Sections 14740-14746. CCHCS and DHCS employees shall apply efficient and economical management methods in the creation, utilization, maintenance, retention, preservation, and disposal of state records.

### (b) Purpose

To ensure official records are managed and disposed of in a manner consistent with approved records and information management guidelines and procedures to ensure that records are available as needed at the least possible cost.

### (c) Applicability

This policy and procedure is applicable to all CCHCS and DHCS programs at headquarters and regional offices.

### (d) Procedure

#### (1) Headquarters and Regional Offices Responsibilities

The Directors or Deputy Directors of the program shall designate staff as a Records Management Assistant Coordinator (RMAC) to:

- (A) Conduct a records inventory utilizing the STD 70, Records Inventory Worksheet. Once completed, retain the results of the active files until the next scheduled inventory.
- (B) Ensure that records are covered by an approved retention schedule not more than five years old. Prior to the expiration of a retention schedule, programs shall conduct another inventory and re-evaluate the STD 73.
- (C) Use the guidelines applicable to the program area located on the CalRIM website <https://www.sos.ca.gov/archives/records-management-and-appraisal/> when creating the STD 73. The STD 73 shall address all records created and maintained by the program; provide an accurate description of each record series; and state the period of time each record series should be retained in office, department, and/or records center space before destruction or transfer to the state archives.
- (D) Review the completed STD 73 for accuracy and obtain the approval of the program manager responsible for the records.
- (E) Email the STD 73 to the Records Management Coordinator (RMC) at: [m\\_CDCRCCHCSBusinessOps@cdcr.ca.gov](mailto:m_CDCRCCHCSBusinessOps@cdcr.ca.gov) for approval.
  1. Once the RMAC has an approved STD 73 from CalRIM and is ready to move appropriate records to the State Records Center (SRC), complete the STD 71, Records Transfer List, and submit to the RMC. The RMAC shall mark the boxes containing the records identified in the STD 71 with a black permanent marker with the list number from the STD 71 and the sequential box number in the designated area.
  2. The RMAC shall review the “[Basic SRC Guidelines](#)” which contains the SRC expectations.
  3. Boxes accepted by the SRC can only be one cubic foot (15x12x10) and only have the list and box numbers. There should be no other writing on the front or back.
  4. Boxes can be obtained from BOS by submitting a ServiceNow Ticket.
  5. The RMC shall pre-inspect the boxes before the program submits a Customer Request Ticket once boxes are labeled and the STD 71 is completed.
- (F) Submit the STD 71 electronically once pre-inspection is completed by the RMC, and the STD 71 is filled out completely. To electronically submit the STD 71 to the RMC, fill out section 16 at the bottom of the form and click the “Submit to RMC” button at the top of the STD 71. There will be a prompt to input the RMC’s email address which is [m\\_CDCRCCHCSBusinessOps@cdcr.ca.gov](mailto:m_CDCRCCHCSBusinessOps@cdcr.ca.gov). This will notify the RMC automatically via email for approval. The program will receive a confirmation via email from the RMC with the approved date and time for the boxes to be delivered to the SRC.
- (G) Submit a ticket through the Customer Request Program with the approved appointment time and date for delivery of the boxes to the SRC.
- (H) Coordinate with the BOS to pick up the boxes and deliver them to the SRC.

#### (2) RMC Responsibilities

The RMC shall:

- (A) Maintain the CCHCS and DHCS Records Management Program.

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CALIFORNIA CORRECTIONAL HEALTH CARE SERVICES  
Health Care Department Operations Manual

- (B) Conduct research into records retention requirements.
- (C) Review and approve the STD 73 on behalf of CCHCS and DHCS.
- (D) Disseminate announcements of records management activities.
- (E) Review and sign the STD 71 and STD 73 forms. The forms shall be emailed to the Records Management analyst at CalRIM to review and approve.
- (F) Receive the approved copies of the STD 71 and STD 73 from CalRIM.
- (G) Provide CalRIM approved copies to the RMAC for their records.
- (H) Pre-inspect the boxes prepared by the program.
- (I) Send the forms to the SRC for scheduling a date and time for delivery. The SRC shall send an email to the RMC with the date and time the boxes can be delivered to the SRC.
- (J) Notify the RMAC by sending a confirmation email of date and time for the boxes to be delivered to the SRC.
- (K) Once the boxes are stored at the SRC, CalRIM will send a copy of the STD 71 with the storage numbers stamped on the form to the RMC, and the RMC shall forward a copy to the RMAC for their records.
- (L) Monitor and track CCHCS and DHCS program adherence to Records Management Program Policy and Procedure for compliance.

**(e) Disposition of Records**

**(1) Records Stored at the SRC**

When a record has reached the end of its retention period and is stored at the SRC, the SRC will notify the RMC using an Authorization for Records Destruction report. The records will be destroyed when the original copy of the report has been returned to the SRC showing the RMC's signature indicating that the records are approved for destruction or justifying an extension for the records in question.

**(2) Records Stored In-House**

When a record has reached the end of its retention period and contains sensitive personal information, it must be destroyed using witnessed confidential shredding. If a record is less sensitive, it may be destroyed using regular recycling. A Records Destruction Log will be kept by the RMC to collect information such as the disposition date, authorization (Records Retention Schedule number and Item number), volume, medium, and any remarks pertinent to the disposition of the record.

**(f) Training**

Training classes are provided by the California Secretary of State to State entity RMC, RMAC, and managers interested in the development, preparation, and maintenance of State entity Records Retention Schedules. Classes are presented the third Wednesday of every month except December.

**Forms**

- [STD 70, Records Inventory Worksheet](#)
- [STD 71, Records Transfer List](#)
- [STD 73, Records Retention Schedule](#)
- [STD 73, Records Retention Schedule \(Page 2\)](#)
- [STD 76, State Records Center Reference Request](#)
- [Records Management Team Designation Form](#)

**References**

- [California Government Code Sections 14740-14746](#)
- [State Administrative Manual, Chapter 1600](#)
- [Records Management Handbook](#)

**Resources**

- Secretary of State Records Management Training:  
<https://www.sos.ca.gov/archives/records-management-and-appraisal/rm-training/>

**Revision History**

Effective: 03/2020