

RECORDS RETENTION SCHEDULE APPROVAL REQUEST

5/20/99

Submit three copies with three copies of the Records Retention Schedule, DHS/STD 73. (See reverse for additional space.)

(1) Division Administration Branch(es) Program Support

Section(s)/Unit Training & Administrative Services

Address (number, street, city) 1800 3rd Street, PO Box 942732, Sacramento, CA 94234-7320 GS code(s) 85466 Index(es) 8245

TO: Department of General Services
 Procurement Division
 Statewide Information and Records Management Program
 3240 Industrial Boulevard
 West Sacramento, CA 95691 (or IMS C-229)

Check the appropriate box:
 (2) New schedule of records that have never been scheduled. (Complete boxes 5—8.)
 (3) Revising a previous schedule. (Complete boxes 5—12.)
 (A new approval number will be assigned.)
 (4) Amending some pages of a previous schedule. (Complete boxes 8—12.)
 (The original approval number will remain in effect.)

(5) Schedule number NEW SCHEDULE INFORMATION (if applicable)	(6) Schedule date	(7) Number of pages	(8) Cubic Feet (total schedule)
H99-03	1-07-99	8	55
(9) Schedule number PREVIOUS SCHEDULE INFORMATION (if applicable)	(10) Approval number(s)	(11) Approval date(s)	(12) Page number(s) revised
122 & H97-019	86-432 & 97-278	9-30-86 & 12-15-97	6 & 8

PART I—AGENCY STATEMENTS

As the program manager (or person authorized to sign for the program manager) directly responsible for the records listed on the attached schedule, I certify that all records are listed, that I have reviewed the need for the records, (per the State Administrative Manual) that each retention period is necessary and correct as scheduled, and (for a revised schedule) that all items on the previous schedule have been accounted for.

(13) Signature—Manager directly responsible for the records *Ray Kistner* (14) Title Chief, TASS
(15) Date signed 01-20-99

In accordance with Government Code 14755, approval of the attached Records Retention Schedule by the Department of General Services is hereby requested. Retention periods have been established by this agency after a careful evaluation of all the factors listed in the State Administrative Manual.

I hereby certify that I am authorized to act on behalf of the head of this agency in matters pertaining to the retention and disposal of records. (Per the State Administrative Manual.)

(16) Signature—Records Management Analyst *Raymond C. Haag* (17) Title AGPA
(19) Telephone (916) 323-3817 (20) Date signed

PART II—DEPARTMENT OF GENERAL SERVICES APPROVAL (Per Government Code Section 14755)

(21) Signature—DGS Consultant *John E. Fort* (22) Approval number 99.093

(23) Title *Records Mgmt. Consultant* (24) Date signed 5/12/99

(25) Contains no material subject to further review by the California State Archives.

(26) Contains material subject to archival review. Items stamped "Hold/Notify Archives" may not be destroyed without clearance by the Secretary of State. (Per Section 1614 of the State Administrative Manual.)

(27) Signature—CHIEF OF ARCHIVES *W.F. Gray* (28) Approval date MAY 30 1999



**CALIFORNIA DEPARTMENT OF HEALTH SERVICES
ADMINISTRATION**

99-093

(916) 657-3054
FAX: (916) 657-1156
DEPUTY DIRECTOR
(Vacant)¹
8/1253 *84-121*

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**FINANCIAL MANAGEMENT
BRANCH**
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8/1140 *86-293*

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**FISCAL FORECASTING AND DATA
MANAGEMENT BRANCH**
Joseph R. Klun
8/1750 *88-110*

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**PERSONNEL MANAGEMENT
BRANCH**
Laura Montgomery
8/850 *98-001*

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PROGRAM SUPPORT BRANCH
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1800 3rd Street, 455
Sacramento 95814

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ACCOUNTING SECTION
Victor J. Bianchini
8/1140 *98-126*

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BASE ESTIMATES SECTION
Dan Lazar
8/1750 *88-110*

(916) 657-0732
FAX: (916) 654-0580
LABOR RELATIONS SECTION
Judith Clark
8/850 *86-471*

(916) 323-6728
FAX: (916) 327-7729
**CAPITAL OUTLAY AND
SAFETY SECTION**
Dean Harthorn
1800 3rd Street, 455
Sacramento 95814 *87-781*

(916) 322-6122
FAX: (916) 323-4091
**CONTRACTS AND BUSINESS
SERVICES SECTION**
Robert D. Threlkel
1800 3rd Street, 455
Sacramento 95814 *94-083*

(916) 657-3219
FAX: (916) 654-5949
BUDGET SECTION
Raye A. Harrington
8/1040 *81-159*

(916) 657-1410
FAX: (916) 654-0481
**COUNTY ADMINISTRATIVE
EXPENSE SECTION**
James T. Quinn
8/1750 *168-110*

(916) 657-0373
FAX: (916) 657-2578
**CLASSIFICATION, SELECTION,
AND PAYROLL SERVICES
SECTION**
(Vacant)
8/850 *98-001*

(510) 540-2522
FAX: (510) 540-3662
**FACILITIES MANAGEMENT
SECTION**
Milton Mercer
2151 Berkeley Way, 132
Berkeley 94704 *97-170*

(916) 445-7268
FAX: (916) 327-2946
**TELECOMMUNICATIONS AND
LEASED FACILITIES SECTION**
King Smith
70-142
1800 3rd Street, 455
Sacramento 95814

(916) 657-3737
FAX: (916) 654-0481
**FISCAL ANALYSIS
SECTION**
(Vacant)
8/1750 *88-110*

(916) 657-0373
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**WORKERS' COMPENSATION
SECTION**
Peggy Lee
8/850 *98-001*

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**TRAINING AND
ADMINISTRATIVE SERVICES
SECTION**
Ron Klusman
1800 3rd Street, 455
Sacramento 95814 *86-169*

(916) 657-3066
FAX: (916) 654-0481
**MEDICAL CARE STATISTICS
SECTION**
Gene Hiehle
8/1750 *88-110*

97-278 (RMAS)

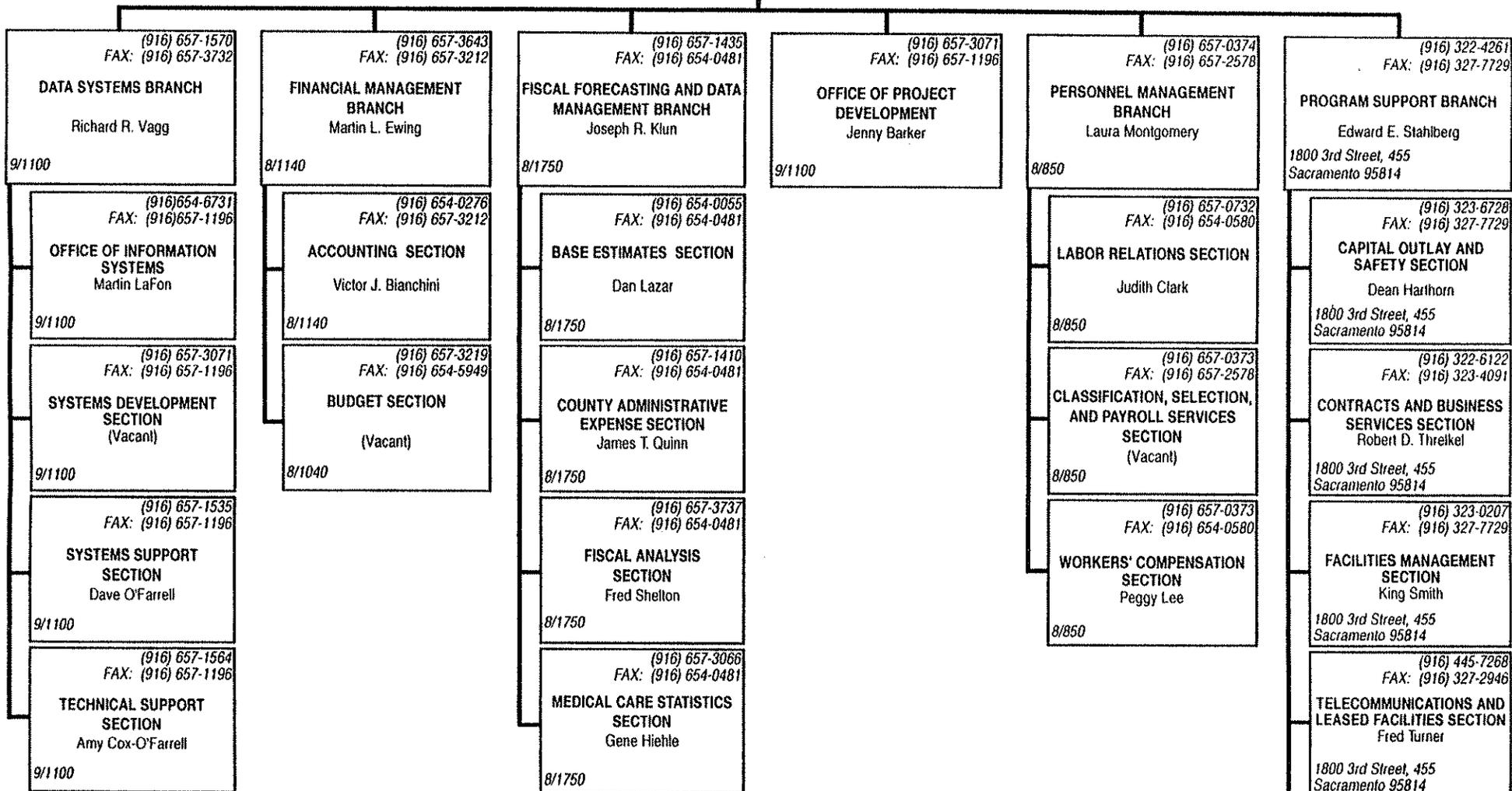
Martin Ewing
Martin Ewing
Acting Deputy Director
Administration

¹ Martin Ewing, Acting Deputy Director, Administration.

**CALIFORNIA DEPARTMENT OF HEALTH SERVICES
ADMINISTRATION**

99-093

(916) 657-3054
FAX: (916) 657-1156
DEPUTY DIRECTOR
Stephen W. Kessler
8/1253

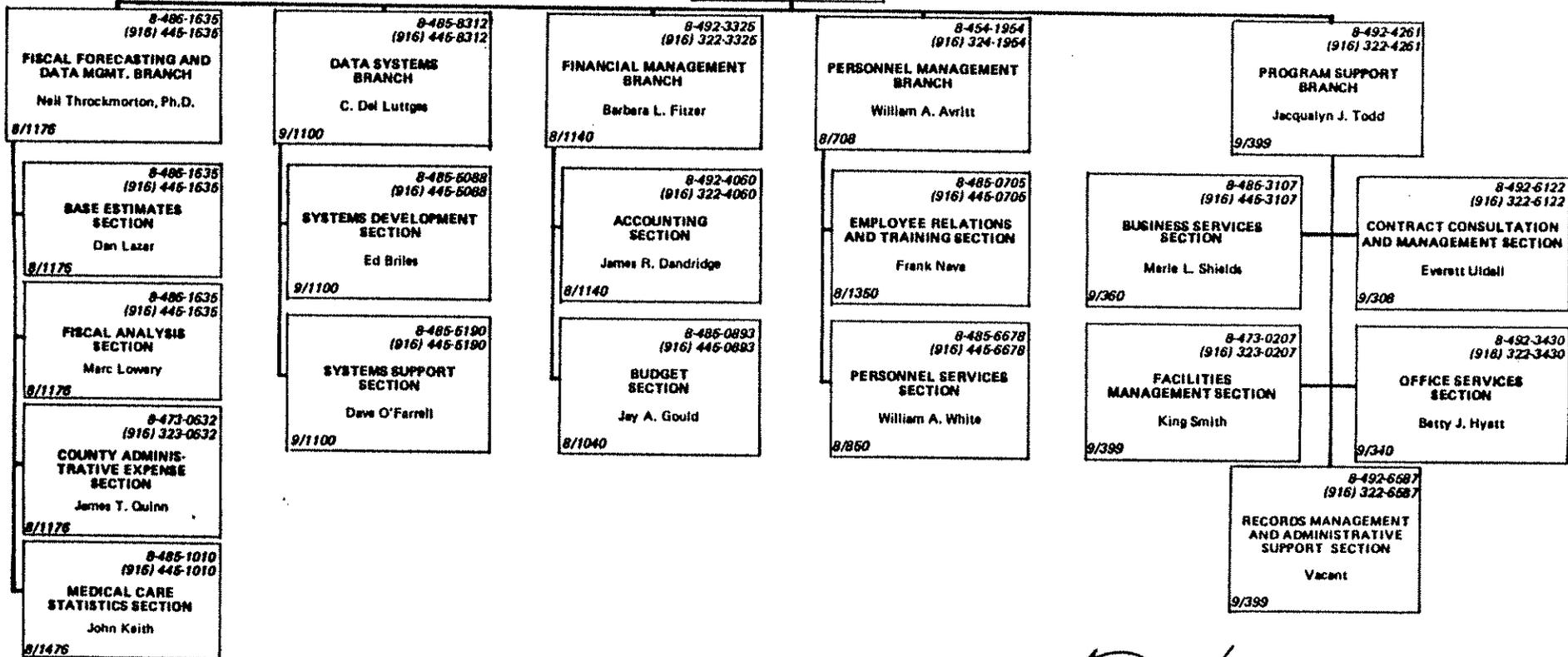


Stephen W. Kessler
Deputy Director
Administration

CALIFORNIA DEPARTMENT OF HEALTH SERVICES
ADMINISTRATION

99-093

8-485-0260
(916) 445-0260
DEPUTY DIRECTOR
Sally L. Hotchkiss
8/1263



Sally L. Hotchkiss
Sally L. Hotchkiss

RECORDS RETENTION SCHEDULE

Division (1) Administration	Branch(es) Program Support	DHS schedule number (2) H99-03	Date (3) 1-07-99
Section(s) Training and Administrative Support		GS code 85466	Page of pages (4) 1 of 8
Address (number, street, city) 1800 3rd Street, Room 455, PO Box 942732, Sacramento, CA 94234-7320			GS approval number (5) 99-093

See instructions on reverse and in SAM 1600

ITEM NUMBER (Triple space between items) (6)	CUBIC FEET* (7)	CALIFORNIA STATE ARCHIVES USE ONLY (8)	TITLE AND DESCRIPTION OF RECORDS (Triple space between items) (9)	MEDIA (10)	VITAL (11)	RETENTION				PRA (Exempt) and IPA (16)	REMARKS (17)
						OFFICE (12)	DEPT. (13)	SRC (14)	TOTAL (15)		

PROGRAM DESCRIPTION

The mission of the Training and Administrative Services Section is to: proactively assist DHS programs to meet their business objectives by providing a diversified range of services in a reliable, cost effective and efficient manner; foster innovation and competency to identify better ways to get the job done; and function in a professional manner at all times.

The Section consists of two units, the Training Unit, and the Records Management and Administrative Support Unit (RMAS).

The Training Unit provides job-related training to DHS employees in management and supervision, clerical, analytical, and general (orientation, time management, communication, etc.) classes. The Training Unit also; facilitates offsite strategic planning and team building meetings; maintains a lending library of books, videos, and audiocassettes; coordinates the Employee Recognition Program; and establishes and maintains departmental correspondence standards (ABC Handbook).

RMAS administers the DHS records management program, forms management program, Public Record Act and Information Practices Act programs, Waste prevention and Recycling Program, departmental Delegation Orders, departmental Organization Charts, the Health Administrative Manual (HAM) and provides professional quality media products for departmental staff.

Acronyms used in this schedule include: SB = Senate Bill; PRA = Public Records Act 6254; IPA = Information Practices Act 1798.40; CD = Confidential Destruction; AIIM = Association for Information and Image management International; ARMA = Association of Records Managers and Administrators, Inc.; SRC = State Records Center; ORM = Office of Records Management; and A = Active.

This schedule does not contain vital records.

*Provide total of office and departmental storage only.

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						OFFICE (12)	DEPT. (13)	SRC (14)	TOTAL (15)		
<u>ADMINISTRATIVE RECORDS</u>											
<u>Personnel</u>											
1	2	Hold / Notify Archives	Affirmative Action (Plans, Policy, General Information)	P		A			A		Active till revised, rescinded or superseded.
2	↓		Merit Award Suggestions ≤\$5000	P		3			3	XI	PRA, IPA, CD.
3	↓		Merit Award Suggestions >\$5000	P		5			5	XI	PRA, IPA, CD.
4	↓		Sustained Superior Accomplishment	P		3			3	XI	PRA, IPA, CD.
5	↓		Superior Accomplishment	P		3			3	XI	PRA, IPA, CD.
6	↓		Employee Personnel Records	P		A+3			A+3	XI	PRA, IPA, CD. Active till employee leaves.
7	↓		Request Personnel Action (RPAs)	P		A+3			A+3	XI	PRA, IPA, CD. Active till employee leaves.
<u>Correspondence</u>											
8	3	Hold / Notify Archives	Chron Files	P		2			2		
9	↓	Hold / Notify Archives	Subject A-Z	P		2			2		

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						OFFICE (12)	DEPT. (13)	SRC (14)	TOTAL (15)		
10	↓		Activity Reports	P		2			2		
11	↓		Associations (AIIM, ARMA, etc)	P		A			A		Active while membership current
12	↓		Conferences, Committees, Forums and Meetings	P		2			2		
			<u>Records Management (Internal)</u>								
13	1		Records Retention Schedule (DHS/STD 72 & 73s)	P		A			A		Active till revised, rescinded or superseded.
14	↓		Biennial Records Holdings/Disposal	P		3			3		3 yrs or when no longer needed for analysis or reference, whichever is later.
			<u>Equipment and Supplies</u>								
15	1		Purchase Requests	P		3			3		
16	↓		Repairs & Service Orders	P		3			3		
17	↓		Inventory	P		A			A		Active till superseded
			<u>Financial</u>								
18	1		Budget Reports	P		5			5		

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						OFFICE (12)	DEPT. (13)	SRC (14)	TOTAL (15)		
19	↓		Budget Change Proposals	P		2			2		
			<u>Legal/Legislative</u>								
20	1	Hold / Noisy Archives	Bill Analysis	P		2			2	X	PRA, CD
			<u>Policies & Procedures</u>								
21	↓		General Information	P		A			A		Active till revised, rescinded or superseded.
			<u>Reports and Surveys</u>								
22	2		Annual Registrar Report	P		5			5		
23	↓		Monthly Training Attendance Report	P		1			1		
			<u>PROGRAM RECORDS</u>								
			<u>Studies/Surveys</u>								
24	2		Records Management Surveys	P		2			2		
25	↓		Records Mgmt Feasibility Studies	P		3			3		
26	↓		Training Surveys/Data Gathering	P		5			5		

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						OFFICE (12)	DEPT. (13)	SRC (14)	TOTAL (15)		
			<u>Training Records</u>								
27	3		Consultant Contracts	P		A+1			A+1		Active till contract terminates
28	↓		Training Requests (DHS2296s and DHS STD 697s)	P		3			3	XI	PRA,IPA, CD.
29	↓		Training Records (Sign ins, etc.)	P		3			3		
			<u>Forms Management</u>								
30	4		DHS Master Copies Forms/Charts	P		A+2			A+2		Active till revised, rescinded or superseded.
31	↓		Index Forms Card File (Current)	P		A			A		Active till revised, rescinded or superseded. Master retained as reference.
32	↓		SB 1898 Form Review Records	P		4			4		
33	15		Current Form Masters & Related Records	P		A			A		Active till revised, rescinded or superseded. Master retained as reference.
			<u>Records Management</u>								
34	3		Biennial Records Holdings/Disposal	P		3			3		3 yrs or when no longer needed for analysis or reference, whichever is later.
35	↓		Records Mgmt Equipment Requests	P		5			5		

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						OFFICE (12)	DEPT. (13)	SRC (14)	TOTAL (15)		
36	1		Records Destruction Authorization	P		4			4		Or when no longer needed for reference or analysis, whichever is later.
37	4		Record Retention Schedules - Copies (Dhs/Std 72 & 73s)	P		A			A		Active till revised, rescinded or superseded. Then retain for research/analysis.
38	5		Record Transfer Lists (Std 71)	P		A			A		Active till records destroyed, retired permanently, transferred to Archives, or no longer needed for analysis/research.
39	↓		RMAS Records Mgmt Handbook	P		A			A		Active till revised, rescinded or superseded.
40	↓		SRC Reference Request	P		1			1		
41	↓		Record Transport Request (Dhs 2212)	P		2			2		
42	↓		SRC Records Holdings	C		3			3		Or when no longer needed for reference or analysis, whichever is later.
43	↓		Confidential Records Destruction Request (ORM 28)	P		2			2		Or when no longer needed for reference or analysis, whichever is later.
44	2	not in Archives	<u>Health Administrative Manual (HAM)</u> HAM Work Papers & Masters	P		A+2			A+2		Active till revised, rescinded or superseded. Retain work papers 2 yrs after master is printed.

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			<u>Delegation Orders</u>									
45	2		Delegation Orders & Action Memos	P		A			A		Active till revised, rescinded or superseded.	
46	↓		Obsolete Delegation Orders	P		3			3		Or when no longer needed for reference or analysis, whichever is later.	
			<u>Information Practices Act</u>									
47	↓		IPA Annual Report	P		3			3		Or when no longer needed for reference or analysis, whichever is later.	
			<u>Departmental Organizational Charts</u>									
48	2	<i>hold / Health Archives</i>	Organizational Charts & Re-Org Plans	P		A			A		Active till revised, rescinded or superseded, or when no longer needed for reference or analysis, whichever is later.	
			<u>Recycling Program</u>									
49	1		Recycling Policy File	P		A			A		Active till revised, rescinded or superseded.	
	55		Total Cubic Feet									

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RECONCILIATION:

This schedule creates a section level schedule for the Training & Administrative Support Section by combining the schedules of the Records Management and Administrative Support (RMAS) Unit and the Training Unit. The old RMAS schedule is approval number 97-278, and the old Training Unit schedule is 86-432.

97-278 ITEMS	NEW ITEMS	97278 ITEMS	NEW ITEMS	97-278 ITEMS	NEW ITEMS		86-432 ITEMS	NEW ITEMS	86-432 ITEMS	NEW ITEMS
1	1	21	20	41	44		1	10	21	28
2	2,3	22	20	42	45		2	18	22	@
3	4	23	20	43	46		3	12	23	8
4	8	24	21	44	47		4	8	24	@
5	9	25	@	45	48		5	9	25	@
6	10	26	24				6	15,16,17	26	@
7	11	27	25				7	AT 4B	27	@
8	12	28	30				8	7	28	@
9	39	29	33				9	6	29	28
10	13	30	31				10	#		
11	38	31	32				11	6		
12	40	32	34				12	#		
13	14	33	36				13	#		
14	#	34	37				14	6		
15	30-33	35	35				15	21		
16	49	36	38				16	14		
17	15	37	40				17	33		
18	16	38	41				18	36		
19	19	39	42				19	38		
20	#	40	43				20	13		

= No longer required by this office.

@ = Folder created in the past but never used.

Items 5, 22, 23, 26, 27, and 29 are new items that do not appear on either old schedule.

Memorandum

Date: January 21, 1999

99-093

To: Melodie Cato, Chief
Statewide Information and Records Management Program
Department of General Services
3240 Industrial Boulevard
West Sacramento, CA 95691

From: Administration
1800 Third Street, Suite 455
Sacramento, CA 95814
323-3817

Subject: Records Retention Schedule H99-03

Attached for your review and approval is Records Retention Schedule H99-03 for the Training and Administrative Services Section, of the Program Support Branch, Administrative Division. This schedule incorporates records from the section and its two units. It combines the Records Management and Administrative Support Unit schedule, approval number 97-278, with the Training Unit schedule, approval number 86-432.

If you have any questions regarding this schedule please call me at 323-3817. Thank you.


Raymond C. Haag, AGPA
Records Management and
Administrative Support

Attachments

cc: Edward Stahlberg, Chief
Program Support Branch
1800 Third Street, Room 455