

Key # 21874

Submit three copies to: Department of General Services, California Records and Information Management, 707 Third St. 2nd Fl., W. Sacramento, CA 95605.

A CalRIM Consultant may be reached by phone at (916) 375-4404, by fax at (916) 375-4408 or by email at CalRIM@dgs.ca.gov

(1) DEPARTMENT, (CalPERS) California Public Employees' Retirement System		(2) AGENCY BILLING CODE 63500	(3) PAGE 1 OF 7 PAGES	
(4) DIVISION/ BRANCH/ SECTION Member Services Division		(5) ADDRESS 400 P Street, Sacramento, CA		
CHECK THE APPROPRIATE BOX				
(6) <input type="checkbox"/> New schedule of records that have never been scheduled. [Complete boxes (9) - (12)]				
(7) <input checked="" type="checkbox"/> Revising a previous schedule. [Complete boxes (13) - (16)] (A new approval number will be assigned.)				
(8) <input type="checkbox"/> Amending some pages of a previous schedule. [Complete boxes (13) - (16)] (The original approval number will remain in effect.)				
NEW SCHEDULE INFORMATION (If applicable)	(9) SCHEDULE NUMBER 010-4	(10) SCHEDULE DATE 9/25/08	(11) NUMBER OF PAGES 7	(12) CUBIC FEET (Total Schedule) 452.5
PREVIOUS SCHEDULE INFORMATION (If applicable)	(13) SCHEDULE NUMBER 010-4	(14) APPROVAL NUMBER 03-094	(15) APPROVAL DATE (S) 07/11/2003	(16) PAGE NUMBER(S) REVISED - 1

(17) MISSION/FUNCTIONAL STATEMENT :
 Our mission is to empower our customers with the information, services and tools needed to make informed and confident decisions, and provide premier customer service through the timely processing of all requests.

PART I - AGENCY STATEMENTS

As the program manager (or person authorized to sign for the program manager) directly responsible for the records listed on this records retention schedule, I certify that all records listed are necessary and that each retention period is correct. For revisions, all items on the previous schedule are included or accounted for on the recapitulation. Vital records identified by this schedule are protected. If protection is not currently provided but plans are underway, the details of such plans are shown in Column 45, Remarks.

(18) SIGNATURE - MANAGER RESPONSIBLE FOR THE RECORDS Allyson Crooks	(19) TITLE Records Management Analyst	(20) PHONE NUMBER 916 795-2134	(21) DATE SIGNED 12-10-08
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In accordance with Government Code 14755, approval of this Records Retention Schedule by the Department of General Services is hereby requested. Retention periods shown have been established in accordance with the criteria set forth by Section 1667 of the State Administrative Manual.

(22) SIGNATURE- RECORDS MGMT. ANALYST Debra L. Mallory	(23) CLASSIFICATION SSM III	(24) NAME (Printed or Typed) DEBRA L. MALLORY	(25) PHONE NUMBER (916) 795-3131	(26) DATE SIGNED 9/25/08
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PART II - DEPARTMENT OF GENERAL SERVICES APPROVAL (Per Government Code Section 14755)

(27) SIGNATURE - CalRIM CONSULTANT Janie C. Sanchez	(28) APPROVAL NUMBER 09-009	(29) DATE SIGNED 1/29/2009	(30) EXPIRATION DATE 1/29/2014
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PART III - ARCHIVAL SELECTION (Per Government Code Section 14756)

THE ATTACHED RECORDS RETENTION SCHEDULE:		 FOR ARCHIVES' STAMP 
(31) <input type="checkbox"/> Contains no material subject to further review by the California State Archives		
(32) <input checked="" type="checkbox"/> Contains material subject to archival review. Items stamped "NOTIFY ARCHIVES" may not be destroyed without clearance by the California State Archives. (Per Section 1671 of the State Administrative Manual.)		
(33) SIGNATURE - CHIEF OF ARCHIVES OR DESIGNATED REPRESENTATIVE Sydney Bailey, Analyst	(34) DATE SIGNED Feb. 3, 2009	

ITEM #	CUBIC FEET *	CA. STATE ARCHIVES USE ONLY	TITLE AND DESCRIPTION OF RECORDS (Double spaces between items)	MEDIA	VITAL	RETENTION				PRA (Exempt) & IPA (47)	REMARKS
						OFFICE	DEPT.	SRC	TOTAL		
(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)
1	12		Form MEM-155, Notice of Change	S				Perm.	Perm		Retain Permanent: Only source of information. Retention Authority, Managers Decision.
1A			State Second Tier Election Ballots: 1984 Original Second Tier Election	S				Perm.	Perm.	IX	Retain Permanent: Disclosure Authority: GC SECS 6254 and 20134, 20134.1 and CC SEC 1787.34. Manager's Decision.
1B			State First Tier Election Ballots: 1984 Original Two Tier Election	S	film			Perm.	Perm.	IX	Retain Permanent: Disclosure Authority: GC SECS 6254 and 20134, 20134.1 and CC SEC 1798.34. Manager's Decision.
1C			State Second tier Election Ballots: 1984 to 1987 Annual Two-Tier Election 1984 to 1990.	S				Perm	Perm	IX	Retain Permanent: Disclosure Authority: GC SECS 6254 and 20134, 20134.1 and CC SEC 1798.34. Manager's Decision.
1D			Survivor Benefit & OASDI Election Cards State 1 st & 2 nd Tier Election Ballots (ADM-106, MEM-106) Annual Two Tier Election Documents.	S				Perm	Perm	IX	Retain Permanent: Disclosure Authority: GC SECS 6254 and 20134, 20134.1 and CC SEC 1798.34. Manager's Decision.
2	7		Notice of Change from MEM-155 form advising Employer to make data correction	P		1 yr.			1 yr.	IX	Retain one year and destroy paper: Disclosure Authority: GC SECS 6254 and 20134, 20134.1 and CC SEC 1798.34 (Membership Unit)
			CHAINDEX: Coded Card File of manual process containing member data not located in the database, such as employment history, benefit election, name change & SSN. Dates back to beginning of CalPERS								
3	12		Terminated/Deceased Members (Chainindex Cards)	P		Perm			Perm.		Retain Permanent: This is the only source of member information. GC SECS 6250 and 20134, 20134.1 and CC SEC 1798.34
4	7		Non-Member (Chainindex Cards)	P		Perm.			Perm.	IX	Retain Permanent: Only existing information.
5			Member File (Chainindex Cards)	P M	film			Perm Perm	Perm. Perm	IX	Retain Permanent: This is the only source of member information. Paper stored in the SRC Vault Disclosure Authority GC SECS 6254 and 20134, 20134.1 and CC SEC 1798.34. Manager's Decision.
6	3	NOTIFY ARCHIVES	Legislation: Current Legislation with impact on CalPERS	P		Act. +1 yr.			Act. +1 yr.		Active during the current 2 year Legislative Session. Destroy after one year when no longer needed. Manager's Decision
7	4	NOTIFY ARCHIVES	Legislation with impact on the Member Services Division	P		Perm.			Perm.		Retain Permanent: Provides legislative analyses which establish division policy and procedures regarding membership. Administration's decision.

ITEM # (37)	CUBIC FEET * (38)	CA. STATE ARCHIVES USE ONLY (39)	TITLE AND DESCRIPTION OF RECORDS (Double spaces between items) (40)	MEDIA (41)	VITAL (42)	RETENTION				PRA (Exempt) & IPA (47)	REMARKS (48)
						OFFICE (43)	DEPT. (44)	SRC (45)	TOTAL (46)		
8	22	NOTIFY ARCHIVES	Policy Memos from Executive; policy memos from Executive affecting membership. Letters & memos written by division staff for executive signature.	P		Current +20yrs.			Current +20yrs.		Current, then retain 20 years. Administration Policy. Retention Authority Manager's Decision.
			MICROFICHE:							IX	Permanent Because: This is the only source of member information.
9			State Payrolls; State Personnel Board Records. Annual Fiscal Year Transcripts	S				Perm.	Perm.		Disclosure Authority: GC SECS 6250 and 20134, CC SEC 1798.34. Retention Authority: Manager's Decision. Service Credit Unit
9A	38		State Payroll	D		30 yrs			30 yrs.		Retain until no longer need working duplicate.
10			Member Files (Active)	M		Perm.			Perm.	X/I	All documents to be confidential destruction upon completion of being imaged. Disclosure Authority: GC SECS 6254 and 20134, 20134.1 and CC SEC 1798.34. (Electronic Image)
11	1		Electronic data Processing Listings (EDP): Warning Messages - transaction Generator (MBR024F); Adjustment (MBR024G); Adjustment/Service Credit (MBR024H) Optional Member, Safety Member	C		Act. +2 months.			Act. 2+ months.	X/I	Active for two calendar months, then destroy when no longer needed. Disclosure Authority: SECS 6254 and 20134, 20134.1 and CC SEC 1798.34. Service Credit Unit.
12	3		Statistical Data: Monthly Workload Activity Reports, Divisional Budget Materials, CalPERS Member Counts.	C		Act. + 9yrs.			Act. + 9yrs.		Retain Active. Destroy after 9 years.
13	25		Miscellaneous Electronic Data Processing	C		Act. + 2yrs.			Act. + 2yrs.		Retain as active. Cut off attend of each calendar year, then hold for an additional 2 years.
14	10		Personnel Employee Copies Drop Files	P		Act.			Act.		Retain as active until employee leaves/terminates. Destroy paper.
15			Judges & Legislators Active Member Files	M		Perm.			Perm.	X/I	All documents to be confidential destruct upon completion of being electronic imaged. Disclosure Authority: GC SECS 6254 and 20134, 20134.1 and CC SEC 1798.34.
16			Retired Judges & Legislators Member Files	M		Perm.			Perm.	X/I	All documents to be confidential destruct upon completion of being electronic imaged. Archive Images one year after member dies, beneficiary dies, or no longer eligible for benefits. Disclosure Authority: GC SECS 6254 and 20134, 20134.1 and CC SEC 1798.34.
17			Deceased Judges & Legislators Member Files	M		Perm.			Perm.	X/I	Active until all benefits are paid. All documents to be confidential destruct upon completion of being imaged. Archive images one year after all benefits are paid. Disclosure Authority: GC SECS 6254 and 20134, 20134.1 and CC SEC 1798.34.
18	21		Electronic Discrepancies Transfer Listings: Legislators, Judges, Retired/Active Roles subsidiaries, discrepancies, Rosters, attendance & working papers.	C		2 yrs.			2 yrs.		Destroy after two years. Retention Authority: Manager's Decision.
19	4	NOTIFY ARCHIVES	Legislators Legislation: Senate & Assembly Bills, Bills Analyses. Judges Legislation: Senate & Assembly Bills,	P		2 yrs.			2 yrs.		Destroy after two years. Retention Authority: Manager's Decision.

09-009

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						OFFICE	DEPT.	SRC	TOTAL		
(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)
20	1		Judges/Legislators: JUD218-Retired Format, JAC101A-Active Members, PE036- Retired Warrant Register & Contribution Report	D		Act.			Act.		Active until revised or obsolete. Destroy when no longer needed for reference.
21	1		Agency files: Judges/Legislators Contracts, resolution lists of volunteers. Annual Report	P M		Act.			Act.		Active until agency terminates. All documents to be confidential destruct upon completion of being imaged.
22	1		Judges/Legislators Correspondence: General Inquiry, Letters requesting information on awards system	P M		Act.			Act.		Active until reply or action is completed. All documents to be confidential destruct upon completion of being imaged.
23	4		Judges Payroll Listings/Summary Report of contribution (JAC-14 & JRS-JAC-15)	P M		1 yr.			1 yr.		Retain one year. After one year documents to be imaged. All documents to be confidential destruct upon completion of being imaged.
24	3		Judges, Legislators, Volunteer Firefighters: Member Transcripts. Report of Member Accounts	P M		Act. + 1yr.			Act. + 1yr.		Active, retain one year then image. All documents to be confidential destruct upon completion of being imaged. *Volunteer Firefighters program moved to California State Firefighters' Welfare Benefits Corporation (CSFWBC) as of March 2008.
25			MICROFICHE: Judges/Legislators & Volunteer Firefighters. Active Member transcripts.	S				Perm.	Perm.		Retain as permanent. This is the only source of employment history. Retention Authority: Manager's decision
26	6		Program Material: Prior and current information on the programs 1983-2008 (Job name is ACP)	P		Perm.			Perm.		Retain as permanent. Retention Authority: Manager's decision
27			MICROFICHE: Judges/Legislators & Volunteer Firefighters. Active Member Payroll. Contributions reported per member	S				Perm.	Perm.		Retain as permanent. Retention Authority: Manager's decision
28			Judges/Legislators & Volunteer Firefighters. Retired Member Roll. Pension Information, 1981 to current.	S				Perm.	Perm.		Retain as permanent. Retention Authority: Manager's decision
29	8	NOTIFY ARCHIVES	Legislation Material: Legislation Analyses, copies of legislation related material.	P		Perm.			Perm.		Retain permanent: Policy decisions in the Member Services Division are made from legislation. Retention Authority: Manager's Decision.
30	15		Claim Schedules: Record of Payments Requested	P M		Act.			Act.		Active until imaged. All documents confidential destruction upon completion of being imaged.
31	15		Claim Schedules: (History) Documentation of History of Claims.	P M		Act.			Act.		Active until imaged. All documents confidential destruction upon completion of being imaged.
32	9		Monthly Roll Report: Computer report of monthly pay out. (2001-2002)	C		Act. +6mos.			Act. +6mos.		Retain as active. Destroy after six months.
33	3		Personnel Drop Files: (Copies of transaction Material)	P		Act.			Act.		Retain as active until employee leaves/terminates. (1998 to current). Destroy paper. Retention Authority: Manager's decision
34	15		Program Files: Information related to Judges & Legislators	P		Perm.			Perm.		Retain Permanent: Retention Authority: Manager's Decision.

509-009

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						OFFICE	DEPT.	SRC	TOTAL		
(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)
35	5		Budget Galley: Projections for the Governor's Budget for Legislators & Judges (1995 to Current)	P		Current + 7yrs.			Current + 7yrs.		Retain as Current. Destroy after seven years.
36	2		Seminar Files – Evaluation: Member Education Development Unit (seminar evaluation years covered 9/01 to current)	P		Act. + 1yr.			Act. + 1yr.		Retain as Active. Destroy after one year. Retention Authority: Manager's Decision. *Records have been transferred over to the CSED permanently.
37	2		Workshop Files – Evaluation: Member Education Development Unit (workshop evaluation years covered 9/01 to current)	P		Act. + 1yr.			Act. + 1yr.		Retain as Active. Destroy after one year. Retention Authority: Manager's Decision. *Records have been transferred over to the CSED permanently.
38	5		Personnel Drop Files: Material for active Employees/Students travel claims, purchase orders. (Copies)	P		Act.			Act.		Retain as active until employee leaves/terminates. Destroy Paper. Retention Authority: Manager's decision.
39	5		Program Records: Active Statistical Data Report and Summaries	P		Act.			Act.		Retain as Active. Destroy when obsolete or no longer needed.
40	1		Records Management STD Form 70, records Inventory Worksheet	P		Current			Current		Retain as current until next inventory, or when no longer needed for reference or analysis, whichever is later.
41			STD Form 71, Records Transfer List	P		Current			Current		Retain as current until all records have been either destroyed. Retired permanently, transferred to the State Archives, or when no longer needed, whichever is later.
42			STD 73 Records Retention Schedule	P		Current			Current		Retain as current until revised. NOTE: ALTHOUGH REVISION IS REQUIRED EVERY 5 YRS. AFTER THE DATE APPROVES BY CALPAM, PRA'S NOT REVISED ARE STILL IN EFFECT
43			Purged SCBA Accounts. All accounts at the end of the Fiscal Year. Receivables Listing	M		Current			Current		Retain as current BUT ARE CONSIDERED NON-CURRENT.
44	6		OPPD: Subject Files: Chronological Files: Budget	P		Act.			Act.		Retain as Active. Destroy when obsolete or no longer needed.
45	1		Personnel Records: 634s; Travel Claims; Attendance & Issues	P		Act. + 5yrs.			Act. + 5yrs.		Retain as Active. Destroy after five years. Retention Authority: Manager's Decision.
46	2.5		Correspondence: CalPERS Letters & Memos: Internal & External	P		Act. + 7yrs.			Act. + 7yrs.		Retain as Active. Destroy after seven years. Retention Authority: Manager's Decision.
47	10		Project History Files: FY 97/98 through FY 07/08	P		Act.			Act.		Retain as Active. Destroy when obsolete or no longer needed.
48	3		Legal Opinion Requests	P		Act. + 5yrs.			Act. + 5yrs.		Retain as Active. Destroy after five years. Retention Authority: Manager's Decision.
49	3		Directives	P		Act.			Act.		Retain as Active. Destroy when obsolete or no longer needed.

09-009

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						OFFICE (43)	DEPT. (44)	SRC (45)	TOTAL (46)		

50	50		OPPD Library	P M	X	Act.			Act.		Retain as Active. Destroy when obsolete or no longer needed.
51	1		WeBuy Requests	P		Act. + 5yrs.			Act. + 5yrs.		Retain as Active. Destroy after five years. Retention Authority: Manager's Decision.
52	1		Service Requests	P		Act. + 5yrs.			Act. + 5yrs.		Retain as Active. Destroy after five years. Retention Authority: Manager's Decision.

452.5 Total Cubic Feet (Records Only)

09-009

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						OFFICE	DEPT.	SRC	TOTAL		
(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)

* Provide total of office and departmental storage only

Summary of Changes:

This RRS revises 03-094 dated 02/14/03. Item number changes are as followed:

03-094

Items 43, through 52, in the new schedule are new items.

36T
37T

T- Indicates records transferred to the Customer Service Education Division