

STATE OF CALIFORNIA
**RECORDS RETENTION SCHEDULE
 APPROVAL REQUEST**
 STD. 72 (REV. 2-96)

7/8/03
 L ✓

(1) DEPARTMENT, BOARD OR COMMISSION
California Public Employees Retirement System

DIVISION, BUREAU OR OTHER UNIT
MEMBER SERVICES DIVISION

ADDRESS
400 P Street, Sacramento

Submit three copies with three copies of the
 Records Retention Schedule, STD. 73.

TO: DEPARTMENT OF GENERAL SERVICES
 OFFICE OF INFORMATION SERVICES
 1500 5TH Street, Room 116
 Sacramento, CA 95814 (or IMS C-39)
 (916) 445-2294 OR CALNET 485-2294

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.)

NEW SCHEDULE INFORMATION (If applicable)	(5) SCHEDULE NUMBER 010-4	(6) SCHEDULE DATE 1-30-03	(7) NUMBER OF PAGES	(8) CUBIC FEET (Total Schedule) 375
PREVIOUS SCHEDULE INFORMATION (If applicable)	(9) SCHEDULE NUMBER(S) 010-4	(10) APPROVAL NUMBER(S) 94-049	APPROVAL DATE(S) 1-13-94	PAGE NUMBER(S) REVISED all

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 Section 1611 of 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
Kathie Vaughn

(14) TITLE
CHIEF MBSD

(15) DATE SIGNED
3/14/03

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 Section 1667 of 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 Section 1611 of the State Administrative Manual.)

(16) SIGNATURE-RECORDS MANAGEMENT ANALYST
Mary Crump

(17) TITLE
SSA

(18) NAME (Printed or Typed)
Mary Crump

(19) TELEPHONE
326-3768

(20) DATE SIGNED
3/24/03

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

(21) SIGNATURE-OIG CONSULTANT
Gabe Cost

(22) APPROVAL NUMBER
03-094

(23) TITLE
Records Management Consultant

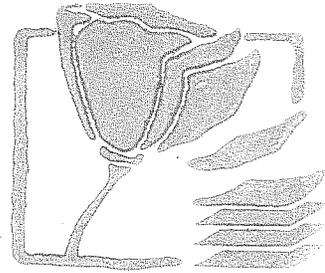
(24) DATE SIGNED
7/2/03

PART III - ARCHIVAL SELECTION (Per Government Code Section 14755)

THE ATTACHED RECORDS RETENTION SCHEDULE:

- (25) Contains no material subject to further review by the California State Archives
- (26) Contains material subject to archival review. Items stamped "TRANSFER TO ARCHIVES" may not be destroyed without clearance by the Secretary of State. (Per Section 1614 of the State Administrative Manual.)

ARCHIVES USE ONLY



**CALIFORNIA
 STATE ARCHIVES**

(27) SIGNATURE - CHIEF OF ARCHIVES
Linda Johnson

(28) DATE SIGNED
7/11/03

GC 21917

RECORDS RETENTION SCHEDULE
STD. 73 (REV. 6-98)

See instructions on reverse
and in SAM 1600

DEPARTMENT CalPERS	BILLING CODE (1) 63500	SCHEDULE NUMBER (2) 010-4	DATE (3) 2/14/03
ORGANIZATIONAL UNIT Member Services Division		PAGE 1	OF 8 PAGES (4)
ADDRESS (Number Street City) 400 P Street Sacramento		DEPARTMENT OF GENERAL SERVICES APPROVAL NUMBER (5) 03-094	

Mission Statement

To provide premier quality service to our members, retirees, employers, and other customers through timely processing of all requests, and direct assistance, counseling and education on all programs administered by the System. To provide full and timely cost information and election processing for members wishing to increase their service credit by redepositing previously withdrawn member contributions, paying contributions for specified prior employment or public service/educational leave periods, or having adjustments and corrections made to existing service credit and contribution levels as provided by law. To provide eligibility for reciprocity with other retirement systems.

Note: In July 1998, the Member Services Division and Actuarial and Employer Services Division merged some staff and resources to provide improved, consistent processing to our members. In June 2002, the backfile imaging of member records was implemented at CalPERS. Member records amounted to 51 million plus documents that were converted to digital image. Paper is certified destruct upon completion of imaging.

State of California

RECORDS RETENTION SCHEDULE
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DEPARTMENT CalPERS	BILLING CODE (1) 63500	SCHEDULE NUMBER (2) 010-4	DATE (3) 2/14/03
ORGANIZATIONAL UNIT Member Services Division		PAGE 2	OF 8
ADDRESS (Number Street City) 400 P Street Sacramento		DEPARTMENT OF GENERAL SERVICES APPROVAL NUMBER (5) 03-094	

ITEM NUMBER (6)	CUBIT FEET* (7)	CALIFORNIA STATE ARCHIVES USE ONLY (8)	TITLE AND DESCRIPTION OF RECORDS (9)	MEDIA (10)	VITAL (11)	RETENTION				PRA (Exempt & IPA) (16)	REMARKS (17)
						OFFICE (12)	DEPT (13)	SRC (14)	TOTAL (15)		
1	12		MICROFILM 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.	1X	Retain Permanent: Disclosure Authority: GC SECS 6254 © and 20134, 20134.1 and CC Sec 1787.34 Managers Decision
1B			State First Tier Election Ballots 1984 Original Two Tier Election	S				Perm.	Perm.	1X	Retain Permanent: Disclosure Authority GC SECS 6254© and 20134, 20134.1 and CC SEC 1798.34 Managers Decision
1C			State Second Tier Election Ballots: 1984 to 1987 Annual Two-Tier Election 1984 to 1990.	S				Perm.	Perm.	1X	Retain Permanent: Disclosure Authority GC SECS 6254 © and 20134, 20134.1 and CC SEC 1798.34. Managers 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.	1X	Retain Permanent: Disclosure Authority: GC SECS 6254 © and 20134, 20134.1 and CC SEC 1798.34. Retention Authority. Managers Decision.
2	7		Notice of Change from MEM-155 form. Advising Employer to make data correction.	P		1yr.			1yr.	1X	Retain one year and destroy paper. Disclosure Authority: GC SECS 6254 © and 20134, 20134.1 and CC SEC 1798.34. (Membership Unit)
3	12		CHAINDEX: Coded Card File of manual process containing member data not located in the database, such as employment history, benefit election, name change & social security number. Dates back to beginning of CalPERS. <i>Cal PERS is applying, converting these cards note: to roll film. the existing paper division system does not provide back up required for vital record protection.</i>		X						
			Terminated/Deceased Members (Chaindex Cards)	P				Perm.	Perm.	1X	Retain Permanent: This is the only existing source of member information. GC SECS 6250 and 20134, 20134.1, and CC SEC 1798.34.
4	7		Non-Member (Chaindex Cards)	P				Perm.	Perm.	1X	Retain Permanent: Only existing information.

Provide total of office and departmental storage only

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ORGANIZATIONAL UNIT Member Services Division		PAGE 3	OF 8
ADDRESS (Number Street City) 400 P Street Sacramento		DEPARTMENT OF GENERAL SERVICES APPROVAL NUMBER (5) 03-094	

ITEM NUMBER (6)	CUBIT FEET* (7)	CALIFORNIA STATE ARCHIVES USE ONLY (8)	TITLE AND DESCRIPTION OF RECORDS (9)	MEDIA (10)	VITAL (11)	RETENTION				PRA (Exempt) & IPA (16)	REMARKS (17)
						OFFICE (12)	DEPT (13)	SRC (14)	TOTAL (15)		
5	79		Member File (Chainindex Cards)	P		Perm.			Perm.	IX	Retain Permanent. This is the only source of member information. Disclosure Authority: GC SECS 6250, and 20134, 20134.1 CC SEC 1798. Managers 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. Managers 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 decision.
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 + 20 yrs.			Current + 20 yrs.		Current, than retain twenty years. Administration Policy. Retention Authority Managers Decision.
9	58		MICROFICHE: State Payrolls; State Personnel Board Records. Annual Fiscal Year Transcripts	S				Perm	Perm	IX	Permanent Because: This is the only source of payroll information. Disclosure Authority: GC SECS 6254©, and 20134, CC SEC 1798.34. Retention Authority: Managers Decision. Service Credit Unit.
9A			State Payroll	D		30 years			30 years		Retain until no longer need working duplicate.
10			Member Files (Active)	P M		Perm			Perm	X/I	All documents to be confidential destruction upon completion of being imaged. Disclosure Authority: GC SECS 6254©, 20134 and 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 + mon			Act + mon.	X/I	Active for two calendar months, then destroy when no longer needed. Disclosure Authority: GC SECS 6254©, 20134, 20134.1 and CC SEC 1798.34. Service Credit Unit.

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ORGANIZATIONAL UNIT Member Services Division		PAGE 4	OF 8
ADDRESS (Number Street City) 400 P Street Sacramento		DEPARTMENT OF GENERAL SERVICES APPROVAL NUMBER (5) 03-094	

ITEM NUMBER (6)	CUBIT FEET* (7)	CALIFORNIA STATE ARCHIVES USE ONLY (8)	TITLE AND DESCRIPTION OF RECORDS (9)	MEDIA (10)	VITAL (11)	RETENTION				PRA (Exempt) & IPA (16)	REMARKS (17)
						OFFICE (12)	DEPT (13)	SRC (14)	TOTAL (15)		
12	3		Statistical Data: Monthly workload Activity Reports, Division Budget Materials, CalPERS member counts.	C		Act. + 9 yrs.			Act. + 9 yrs.		Retain Active. Destroy after nine years.
13	25		Miscellaneous Electronic Data Processing	C		Act. + 2 yrs.			Act. + 2 yrs		Retain as active. Cut off at end 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	P M		Perm.			Perm.	X/I	All documents to be confidential destruct upon completion of being electronic imaged. Disclosure Authority: GC SECS 6254©, 20134, 20134.1, and CC SEC 1798.34.
16			Retired Judges & Legislators Member Files	P 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©, 20134, 20134.1 and CC SEC. 1798.34.
17			Deceased Judges & Legislators Member Files	P M		Perm.			Perm.	X/I	Active until all benefits is 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©, 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: Managers Decision.
19	4	NOTIFY ARCHIVES	Legislators Legislation: Senate & Assembly Bills, Bill Analyses. Judges Legislation: Senate & Assembly Dills, Bill Analyses.	P		2 yrs.			2 yrs.		Destroy after two years. Retention Authority: Managers Decision.

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DEPARTMENT CalPERS	BILLING CODE (1) 63500	SCHEDULE NUMBER (2) 010-4	DATE (3) 2/14/03
ORGANIZATIONAL UNIT Member Services Division		PAGE 5	OF 8 PAGES (4)
ADDRESS (Number Street City) 400 P Street Sacramento		DEPARTMENT OF GENERAL SERVICES APPROVAL NUMBER (5) 03-094	

ITEM NUMBER (6)	CUBIT FEET* (7)	CALIFORNIA STATE ARCHIVES USE ONLY (8)	TITLE AND DESCRIPTION OF RECORDS (9)	MEDIA (10)	VITAL (11)	RETENTION				PRA (Exempt & IPA) (16)	REMARKS (17)
						OFFICE (12)	DEPT (13)	SRC (14)	TOTAL (15)		
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 destruction upon completion of being imaged.
22	1		Judges/Legislators Correspondence: General inquiry, Letters requesting information on award system.	P M		Act.			Act.		Active until reply or action is completed. All documents to be confidential destruction 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. + 1 yr.			Act. + 1 yr.		Active. Retain one year., than image. All documents to be confidential destruction upon completion of being imaged.
25	3		MICROFICHE Judges, Legislators, Volunteer Firefighters. Member Transcripts	S				Perm.	Perm.		Retain as permanent. This is the only source of employment history. Retention Authority: Managers Decision.
26	6		Program Material: Prior and Current information on the programs 1983-2002. (Job Name is ACP)	P		Perm.			Perm.		Retain as permanent. Retention Authority: Managers Decision.
27	3		MICROFICHE: Judges/Legislators & Volunteer Firefighters. Active Member Payroll, Contributions reported per member	S				Perm.	Perm.		Retain as permanent. Retention Authority: Managers Decision.
28	3		Judges/Legislators & Volunteer Firefighters. Retired Member Roll. Pension Information. 1981 to current.	S				Perm.	Perm.		Retain as permanent. Retention Authority: Managers Decision.
29	6	NOTIFY ARCHIVES	Legislation Material: Legislation Analyses, copies of Legislation related material.	P		Perm.			Perm.		Retain permanent: Policy decisions in the Member Services Division is made from Legislation. Retention Authority. Management Decision.

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ORGANIZATIONAL UNIT Member Services Division		PAGE 6	OF 8
ADDRESS (Number Street City) 400 P Street Sacramento		DEPARTMENT OF GENERAL SERVICES APPROVAL NUMBER (5) 03-094	

ITEM NUMBER (6)	CUBIT FEET* (7)	CALIFORNIA STATE ARCHIVES USE ONLY (8)	TITLE AND DESCRIPTION OF RECORDS (9)	MEDIA (10)	VITAL (11)	RETENTION				PRA (Exempt) & IPA (16)	REMARKS (17)
						OFFICE (12)	DEPT (13)	SRC (14)	TOTAL (15)		
30	15		Claim Schedules: Record of Payments Requested	P		Act.			Act.		Active until imaged. All documents confidential destruction upon completion of being imaged.
31	15		Claim Schedules: (History) Documentation of History of Claims.	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)	P		Act. + 6 mos.			Act. + 6 mos.		Retain as active. Destroy after six months.
33	3		Personnel Drop Files: (Copies of Transaction Material)	M		Act.			Act.		Retain as active until employee leaves/terminates. (1998 to current). Destroy paper. Retention Authority: Managers Decision.
34	15		Program Files: Information related to Judges & Legislators	P		Perm			Perm.		Retain Permanent: Retention Authority. Managers Decision
35	5		Budget Galley: Projections for the Governor's Budget for Legislators and Judges (1995 to Current)	P		Current + 7yrs			Current + 7ys		Retain as current. Destroy after seven years.
36	2		Seminar Files - Evaluation: Member Education and Program Development Unit. (seminar evaluation years covered 9/01 to current).	P		Act. + 1 yr.			Act. + 1 yr.		Retain as active. Destroy after one year. Retention Authority. Managers Decision.
37	2		Workshop Files - Evaluation: Member Education Development Unit. (workshop evaluation years covered 9/01 to current)	P		Act. + 1 yr.			Act. + 1 yr.		Retain as Active. Destroy after one year. Retention Authority. Managers Decision.
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. Managers Decision.
39	5		Program Records: Active Statistical Report and Summaries.	P		Act.			Act.		Retain as Active. Destroy when obsolete or longer needed.

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DEPARTMENT CalPERS	BILLING CODE (1) 63500	SCHEDULE NUMBER (2) 010-4	DATE (3) 2/14/03
ORGANIZATIONAL UNIT Member Services Division		PAGE 7	OF 8
ADDRESS (Number Street City) 400 P Street Sacramento		DEPARTMENT OF GENERAL SERVICES APPROVAL NUMBER (5) 03-094	

ITEM NUMBER (6)	CUBIT FEET* (7)	CALIFOR- NIA STATE ARCHIVES USE ONLY (8)	TITLE AND DESCRIPTION OF RECORDS (9)	MEDIA (10)	VITAL (11)	RETENTION				PRA (Exempt & IPA (16)	REMARKS (17)
						OFFICE (12)	DEPT (13)	SRC (14)	TOTAL (15)		
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 Form 72, Records Retention Schedule Approval Request and STD Form 73, Records Retention Schedule.	P		Current			Current		Retain as current until revised.
	375		Total Cubic Feet (Records Only)								

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ORGANIZATIONAL UNIT Member Services Division		PAGE 8	OF 8 PAGES (4)
ADDRESS (Number- Street City) 400 P Street Sacramento		DEPARTMENT OF GENERAL SERVICES APPROVAL NUMBER (5) 03-094	

SUMMARY OF CHANGES:

This RRS revises RRS 94-049, dated January 13, 1994. Item number changes are as followed:

94-049	New RRS	94-049	New RRS	Items 15, through 42, in the new schedule are new items.
1	10	27	T	* - Indicates records flagged in the old schedule by State Archives for possible historical value. # - Indicates records no longer required by the program. T - Indicates records transferred to the branch office for retention.
2	T	28	T	
3	T	29	T	
4	*	30	T *	
5	1	31	T	
6	3, 4, & 5	32	T	
7	*	33	T	
8	*	34	T	
9	9	35	14	
10	1	36	T	
11	10			
12	#			
13	#			
14	T			
15	11			
16	12			
17	T			
18	T			
19	13			
20	T			
21	T			
22	T			
23	T *			
24	T			
25	T			
26	T			

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