STATE OF CALIFORNIA

RECORDS RETENTION SCHEDULE APPROVAL REQUEST

STD. 72 (REV. 2-96)

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

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

DIVISION, BUREAU OR OTHER UNIT
Health Benefit Services Division

ADDRESS
400 P Street, PO Box 92714, Sacramento, CA 94229-2714

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.)*

	(5) SCHEDULE NUMBER	(6) SCHEDULE DATE	(7) NUMBER OF PAGES	(8) CUBIC FEET *(Total Schedule)*
NEW SCHEDULE INFORMATION *(If applicable)*	007-1	October 27, 2003	7	436
PREVIOUS SCHEDULE INFORMATION *(If applicable)*	(9) SCHEDULE NUMBER(S) 007-1	(10) APPROVAL NUMBER(S) 94-062	(11) APPROVAL DATE(S) 2/2/94	(12) PAGE NUMBER(S) REVISED

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	(14) TITLE	(15) DATE SIGNED
Doug McKeever	ASSISTANT CHIEF	10-28-03

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	(17) TITLE	
Mary Crump	SSA	
(18) NAME *(Printed or Typed)* Mary Crump	(19) TELEPHONE 326-3768	(20) DATE SIGNED 10-30-03

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

(21) SIGNATURE--OIS CONSULTANT	(22) APPROVAL NUMBER
[signature]	03-195
(23) TITLE RECORDS MGMT. CONSULTANT	(24) DATE SIGNED DECEMBER 3, 2003

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	(28) DATE SIGNED
Sydney Bailey, Archivist	Dec 9, 2003

State of California

RECORDS RETENTION SCHEDULE

STD. 73 (REV. 6-98)

See instructions on reverse and in SAM 1600

DEPARTMENT	BILLING CODE (1)	SCHEDULE NUMBER (2)	DATE (3)
California Public Employees' Retirement System	63500 5000	007-1	October 10, 2003
ORGANIZATIONAL UNIT		PAGE 1 OF	PAGES (4) 7
Health Benefit Services Division			
ADDRESS (Number Street City)		DEPARTMENT OF GENERAL SERVICES APPROVAL NUMBER (5)	03-195.
400 P Street, Sacramento, CA 95814			

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

This Records Retention Schedule includes records for the Health Benefit Services Division of the CalPERS Health Benefits Branch. The primary function of the Division is to:

- Assure that affordable, quality, health care is available to all members
- Provide accurate and timely enrollment services to members and employers

The Health Benefit Services Division consists of:

Member Eligibility and Enrollment Unit - provides eligibility and enrollment services and process dental enrollments of State retirees.
Member Health Services Unit - assists members having difficulties in resolving health plan issues, handles HMO/PPO appeals, requests for administrative hearings, requests for extended coverage to over-age dependents.
Operations Analysis Unit - manages day-to-day operations and division projects, provides a single point of reference for branch-wide policy decisions and oversees the annual preparation of health information booklets for Open Enrollment.
Public Agency Section - This section is comprised of the Billing, Contracts, Marketing, and Reconciliation Units. They facilitate contracting with public agencies, school districts, and agencies not in the CalPERS retirement program, but participate in the Health Benefits Program.
Management Information Unit - This unit supports key system projects which include: CalPERS On-Line Member Enrollment Transactions (COMET), which allows electronic enrollment and enrollment changes and Automated Communication Exchange System (ACES) which enables employers to extract health enrollment information from their internal system, transfer the information via the Internet to COMET and view their information via the ACES application.

The division no longer includes the HMO Contracts Unit and Self-Funded Program. The Office of Long Term Care maintains their own Records Retention Schedule.

* Provide total of office and departmental storage only

State of California

RECORDS RETENTION SCHEDULE

STD. 73 (REV. 6-98)

See instructions on reverse and in SAM 1600

DEPARTMENT	BILLING CODE (1)	SCHEDULE NUMBER (2)	DATE (3)
California Public Employees' Retirement System	63500 5000	007-1	October 10, 2003
ORGANIZATIONAL UNIT		PAGE	OF PAGES (4)
Health Benefit Services Division		2	7
ADDRESS (Number Street City		DEPARTMENT OF GENERAL SERVICES APPROVAL NUMBER (5)	
400 P Street, Sacramento, CA 95814			

ITEM NUMBER (6)	CUBIT FEET* (7)	CALIFORNIA STATE ARCHIVES USE ONLY (8)	TITLE AND DESCRIPTION OF RECORDS (9)	MEDIA (10)	VITAL (11)	RETENTION OFFICE (12)	RETENTION DEPT (13)	RETENTION SRC (14)	RETENTION TOTAL (15)	PRA (Exempt & IPA (16)	REMARKS (17) 03-195.
1	1		[1]Personnel Files: Files of division Managers reporting to the Division Chief	P		Act.			Act.	XI	Active until employee separates. Disclosure Authority: GC Secs 6254, 20134, and 20134.1, CC Sec. 1798.34. Destroy paper.
2	9	NOTIFY ARCHIVES	Carrier Booklets From previous years	P		Act.			Act.		Historical information used for Claims, appeals, and Legal Office. Retention Authority: Manager of Member Health Services Unit. Destroy paper.
3	20		[1]Disabled Dependent Files	P		Act.			Act.	XI	Active until end of disability. Disclosure authority: GC Secs 6254 20134 and CC Sec 1798. Retained by Member Health Services Unit. Destroy paper.
4	1		Forms used by Health Benefit Services Division	P		Act.			Act.		Active until revised or obsolete. Stored in division's common storage; maintained by Operations Analysis Unit. Destroy paper.

[1] Paper destroyed will be confidential destruct.

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California Public Employees' Retirement System	63500 5000	007-1	October 10, 2003
ORGANIZATIONAL UNIT		PAGE	OF PAGES (4)
Health Benefit Services Division		3	7
ADDRESS (Number Street City)		DEPARTMENT OF GENERAL SERVICES APPROVAL NUMBER (5)	03-195
400 P Street, Sacramento, CA 95814			

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5	1		CalPERS CHP/CSUS/DPA/SCO Interagency Agreement contracts	P		Perm.			Perm.		CAHP/DPA contracts are renewed annually and CSU/SCO are renewed on a fiscal year basis. Retention authority is at the manager's decision: Operations Analysis Unit. Retention: Retain paper permanently.
6	2		[1]Appeals: Health Benefits Insurance	P		Act.			Act.	XI	Active until appeal is exhausted. Disclosure authority: GC Secs 6254 20134 and CC Sec 1798. Retained by Member Health Services Unit. Destroy paper.
7	60		Current Year Evidence of Coverage booklets and Provider Directories	P		Act.			Act.		Active until updated. Maintained in division's common storage area. Destroy paper.

[1] Paper destroyed will be confidential destruct.

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DEPARTMENT	BILLING CODE (1)	SCHEDULE NUMBER (2)	DATE (3)
California Public Employees' Retirement System	63500 5000	007-1	October 10, 2003
ORGANIZATIONAL UNIT		PAGE	OF PAGES (4)
Health Benefit Services Division		4	7
ADDRESS (Number Street City		DEPARTMENT OF GENERAL SERVICES APPROVAL NUMBER (5)	E03-195
400 P Street, Sacramento, CA 95814			

ITEM NUMBER (6)	CUBIT FEET* (7)	CALIFORNIA STATE ARCHIVES USE ONLY (8)	TITLE AND DESCRIPTION OF RECORDS (9)	MEDIA (10)	VITAL (11)	RETENTION OFFICE (12)	RETENTION DEPT (13)	RETENTION SRC (14)	RETENTION TOTAL (15)	PRA (Exempt & IPA (16)	REMARKS (17)
8	21		Microfilm: HBD 12 Health Benefits Enrollment Documents; Carrier Listings; Public Agency Transaction PE086	D S		10 Yr		20 Yr Perm	30 Yr Perm	XI	Historical health enrollment information captured prior to Imaging. Maintained in division's common storage area. Retain 10 years in office – store ~~paper~~ film offsite. Retention: Permanent
9	5		Microfiche: Annual Case History (PE025); Composite Enrollee Transaction Audit Report (PE086)	D S		Perm.		Perm	Perm. Perm	XI	Historical retirement allowance information captured prior to current automated systems. Maintained in division's common storage area. Retention Authority: Manager's decision. Retention: Permanent
10	290		Public Agency Billing Records – Computer Output (Details Each Agency's Billing Status)	C M		Act. Perm		Perm	Perm. Perm.	XI	Active until placed on automated system; retain paper permanently per Legal Office. Historical information reconciled and on new Public Agency Reconciliation system. Disclosure Authority GC Secs 6254C, 20134, and CC Sec 1798. Retention: Permanent

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ORGANIZATIONAL UNIT		PAGE	OF PAGES (4)
Health Benefit Services Division		5	7
ADDRESS (Number Street City		DEPARTMENT OF GENERAL SERVICES APPROVAL NUMBER (5)	
400 P Street, Sacramento, CA 95814			

ITEM NUMBER (6)	CUBIT FEET* (7)	CALIFORNIA STATE ARCHIVES USE ONLY (8)	TITLE AND DESCRIPTION OF RECORDS (9)	MEDIA (10)	VITAL (11)	RETENTION OFFICE (12)	RETENTION DEPT (13)	RETENTION SRC (14)	RETENTION TOTAL (15)	PRA (Exempt & IPA (16)	REMARKS (17)
11	10	NOTIFY ARCHIVES	Public Agency Marketing materials, i.e., information packets, Health Care For Life video tapes and brochures	P M		Act. Perm			Act. Perm		Active until revised or obsolete. Destroy paper. Maintained by the Public Agency Marketing Unit. Retention: Permanent
12	15	NOTIFY ARCHIVES	Agency Resolutions: Original resolutions received from the agency.	P M		Perm. Perm			Perm. Perm		Retain paper permanently. Only original record used for legal purposes. Maintained by the Public Agency Contracts Unit. Retention authority: Manager's decision. Retention: Permanent
13		NOTIFY ARCHIVES	Procedures/Policies	M		Perm			Perm		Permanent until revised. Retain as permanent.
14	1		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.
15			STD Form 71, Records Transfer List	P		Current			Current		Retain as current until all records have been either destroyed, retired permanently, transferred to State Archives, or when no longer needed, whichever is later.

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Health Benefit Services Division			
ADDRESS (Number Street City)		DEPARTMENT OF GENERAL SERVICES APPROVAL NUMBER (5)	03-195
400 P Street, Sacramento, CA 95814			

ITEM NUMBER (6)	CUBIT FEET* (7)	CALIFORNIA STATE ARCHIVES USE ONLY (8)	TITLE AND DESCRIPTION OF RECORDS (9)	MEDIA (10)	VITAL (11)	RETENTION OFFICE (12)	RETENTION DEPT (13)	RETENTION SRC (14)	RETENTION TOTAL (15)	PRA (Exempt & IPA (16)	REMARKS (17)
16			STD Form 73 Records Retention Schedule .	P		Current			Current		Retain as current until revised. Note: Although revision is required every five years from the date approved by DGS, RRS that are not revised remain in effect but are considered non-current.
17			Authorization For Records Destruction (Computer Printout)	P		4 Yrs			4 Yrs		Retain for two years from date destruction is authorized. Then retain two more years or until audited, whichever occurs first (maximum of four years).
	Total Cubic Feet 436										

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ADDRESS (Number Street City)		DEPARTMENT OF GENERAL SERVICES APPROVAL NUMBER (5)	
400 P Street, Sacramento, CA 95814		03-195	

SUMMARY OF CHANGES: This RRS revises RRS 94-62, dated 2/2/94. Item numbers as follows:

94-062	New RRS	94-062	New RRS
1T*		28T	
2	1	29T	
3T*		30T	
4*	2 (Name Change)	31#*	
5T		32#	
6#		33T*	
7#		34T*	
8#		35#	
9#	3	36#	
10#		37	8
11#		38#	
12	4 (Name Change)	39	9
13#		40	7 (Combine w/Item 7)
14	5 (Name Change)	41	9 (Combine w/Item 9)
15#		42	10
16#*		43#	
17#		44	8 (Combine w/Item 8)
18#*		45#	
19	3 (Combine w/Item 3)	46	10 (Combine w/Item 10)
20#		47#	
21#		48#*	
22	6	49*	11 (Name Change)
23#*		50#	
24#		51#*	12
25	7 (Name Change)	52#	
26#*			
27#			

Legend:

* Indicates records flagged in old schedule State Archives for possible historical value.

# Indicates records that have been imaged, records no longer required by program, or records can be located in Program/Department automated systems.

T Indicates records that have been transferred to other Division/Department offices for retention:
Items 1 and 3: To Health Branch AEO's office and department's Executive Office.
Item 5: To department's Fiscal Services Division and Office of Audit Services.
Items 28, 29, 30: To Health Branch Health Program Development Division, HMO Contracts Unit.
Item 34: To department's Office of Governmental Affairs.
Items 13 - 16 in the new schedule are new items.

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