

RECORDS RETENTION SCHEDULE

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, Public Employees' Retirement System		(2) AGENCY BILLING CODE 63500	(3) PAGE 1 OF PAGES 6
(4) DIVISION/ BRANCH/ SECTION Health Benefit Branch/ Office of Health Plan Administration <i>Policy + Plan Admin</i>		(5) ADDRESS 400 Q Street, Sacramento, CA 95814, Lincoln Plaza North	

CHECK THE APPROPRIATE BOX

- (6) New schedule of records that have never been scheduled. [Complete boxes (9) – (12)]
- (7) Revising a previous schedule. [Complete boxes (13) – (16)] (A new approval number will be assigned.)
- (8) 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 014	(10) SCHEDULE DATE December 30, 2006 <i>2005</i>	(11) NUMBER OF PAGES 4	(12) CUBIC FEET (Total Schedule) 346.5
PREVIOUS SCHEDULE INFORMATION (If applicable)	(13) SCHEDULE NUMBER 014	(14) APPROVAL NUMBER 93-201	(15) APPROVAL DATE (S) 9/29/93	(16) PAGE NUMBER(S) REVISED – 5

(17) MISSION/FUNCTIONAL STATEMENT : The Health Benefits Branch oversees the CalPERS Health Benefits Program, providing health coverage to the more than 1.2 million members and their families enrolled in CalPERS health plans. Our members include all active and retired California State employees, as well as active and retired employees of local agencies and school districts. *The primary mission of the branch is to: Assure that affordable, quality health care is available to all members. * provide accurate and timely enrollment services to members and employers. *Manage and monitor health plans to assure compliance with terms and conditions of the contractual agreements. *Develop strategies to take advantage of our purchasing power and position in the healthcare marketplace. * Provide focus and leadership so that CalPERS can influence the evolution of changes in health care.

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 <i>Richard Krolak</i>	(19) TITLE Division Chief	(20) PHONE NUMBER (916) 795-0764	(21) DATE SIGNED 1/4/06
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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 <i>Mary Crump</i>	(23) CLASSIFICATION Records Management Analyst	(24) NAME (Printed or Typed) Mary Crump	(25) PHONE NUMBER 916) 795-3768	(26) DATE SIGNED 3/16/06
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PART II – DEPARTMENT OF GENERAL SERVICES APPROVAL (Per Government Code Section 14755)

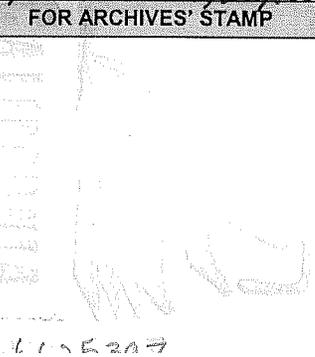
(27) SIGNATURE – CalRIM CONSULTANT <i>John E. Love</i>	(28) APPROVAL NUMBER 06 05 8	(29) DATE SIGNED 3/22/2006	(30) EXPIRATION DATE 3/22/2011
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PART III – ARCHIVAL SELECTION (Per Government Code Section 14755)

THE ATTACHED RECORDS RETENTION SCHEDULE:

- (31) Contains no material subject to further review by the California State Archives
- (32) 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 <i>John Johnson</i>	(34) DATE SIGNED 9/12/06
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ITEM #	CUBIC FEET *	CA. STATE ARCHIVES USE ONLY	TITLE AND DESCRIPTION OF RECORDS (Double spaces between items)	MEDIA	VITAL	RETENTION				PRA (Exempt) & IPA	REMARKS
						OFFICE	DEPT.	SRC	TOTAL		
(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)
1	16		MEDICAL ADMINISTRATOR AND PHARMACY BENEFIT MANAGER (PBM) REQUEST FOR PROPOSAL (RFPs) AND BACKUP INFORMATION	P		ACT. +3			ACT. +3	X	RETAIN ACTIVE, PLUS 3 YEARS. DESTROY 3 YEARS AFTER CONTRACT EXPIRES. DISCLOSURE AUTHORITY G.C. SECS.6254(C) AND 20134, 20134.1 AND CC SEC 1798.34. (PERS-CARE ADMINISTRATION)
2	2		ORIGINAL HISTORICAL CONTRACTS AND AMENDMENTS	P		PERM.			PERM.	X	RETAIN PERMANENT. KEEP ONE ORIGINAL OF CONTRACTS AND AMENDMENTS. DISCLOSURE AUTHORITY G.C. SECS.6254(C) AND 20134, 20134.1 AND CC SEC 1798.34. (PERS-CARE ADMINISTRATION). RETENTION AUTHORITY IS MANAGER'S DECISION.
3	1		INTERNAL AND EXTERNAL AUDITS OF THE SELF-FUNDED PROGRAM.	P		ACT. +5			ACT. +5	X	RETAIN ACTIVE, PLUS 5 YEARS. DESTROY 5 YEARS AFTER CONTRACT EXPIRES. DISCLOSURE AUTHORITY G.C. SECS.6254(C) AND 20134, 20134.1 AND CC SEC 1798.34. (PERS-CARE ADMINISTRATION)
4	1		CONTRACT AND AMENDMENT BACKUP FILES	P		ACT. 7			ACT. 7	X	RETAIN ACTIVE, PLUS 3 YEARS. DESTROY 3 YEARS AFTER CONTRACT EXPIRES. DISCLOSURE AUTHORITY G.C. SECS.6254(C) AND 20134, 20134.1 AND CC SEC 1798.34. (PERS-CARE ADMINISTRATION)
5	2		FISCAL AND RATE RENEWAL INFORMATION	P		ACT. +5			ACT. +5	X	RETAIN ACTIVE, PLUS 5. DESTROY 5 YEARS AFTER APPLICABLE YEAR. DISCLOSURE AUTHORITY G.C. SECS.6254(C) AND 20134, 20134.1 AND CC SEC 1798.34. (PERS-CARE ADMINISTRATION)
6	18		MEDICAL ADMINISTRATOR AND PHARMACY BENEFIT MANAGER (PBM) UPDATES AND REPORTS	P		ACT. +3			ACT. +3	X	RETAIN ACTIVE, PLUS 3 YEARS. DESTROY 3 YEARS AFTER CONTRACT EXPIRES. DISCLOSURE AUTHORITY G.C. SECS.6254(C) AND 20134, 20134.1 AND CC SEC 1798.34. (PERS-CARE ADMINISTRATION)
7	4		SELF-FUNDED PROGRAM EVIDENCE OF COVERAGE (EOCs)	P		PERM.			PERM.	X	RETAIN PERMANENT. KEEP TWO ORIGINALS OF EACH EOC FOR HISTORICAL PURPOSES. DISCLOSURE AUTHORITY G.C. SECS.6254(C) AND 20134, 20134.1 AND CC SEC 1798.34. (PERS-CARE ADMINISTRATION) RETENTION AUTHORITY IS MANAGER'S DECISION.

ITEM #	CUBIC FEET *	CA. STATE ARCHIVES USE ONLY	TITLE AND DESCRIPTION OF RECORDS (Double spaces between items)	MEDIA	VITAL	RETENTION				PRA (Exempt) & IPA	REMARKS
						OFFICE	DEPT.	SRC	TOTAL		
(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)
8	8		SELF-FUNDED CLINICAL, DISEASE MANAGEMENT, AND MEDICAL ADMINISTRATOR PROGRAM INFORMATION	P	ACT. Current				ACT. Current		RETAIN ACTIVE. DESTROY WHEN SUPERCEDED BY NEW INFORMATION.
9	10		SELF-FUNDED LEGAL AND APPEAL FILES	P	ACT. +5				ACT. +5		RETAIN ACTIVE, PLUS 5 YEARS. DESTROY 5 YEARS AFTER CASE IS SETTLED.
10	29		SELF-FUNDED PROGRAM REFERENCE MATERIALS	P	ACT. Current ACT. +5				ACT. Current ACT. +5		RETAIN ACTIVE, PLUS 5 YEARS. DESTROY WHEN SUPERCEDED BY NEW INFORMATION OR 5 YEARS AFTER ACTIVE YEAR.
11	10		SELF-FUNDED MEDICAL ADMINISTRATOR AND PHARMACY BENEFIT MANAGER (PBM) CLAIMS INFORMATION SENT TO STATE CONTROLLERS OFFICE (SCO)	P	ACT. +5		5 YR.		Active + 5 YRS.		RETAIN ACTIVE, PLUS 5 YEARS. KEEP 2 MOST RECENT YEARS ONSITE THEN ARCHIVE. DESTROY 5 YEARS AFTER END OF YEAR WHEN IT WAS ACTIVE.
12	8		LONG TERM CARE (LTC) REPORTS	P	PERM.				PERM.		RETAIN PERMANENT. HISTORICAL INFORMATION. MANAGER OF LTC. RETENTION AUTHORITY IS MANAGER'S DECISION.
13	44		LONG TERM CARE (LTC) REFERENCE MATERIALS	P	PERM.				PERM.		RETAIN PERMANENT. HISTORICAL INFORMATION. MANAGER OF LTC. RETENTION AUTHORITY IS MANAGER'S DECISION.
14	7		LONG TERM CARE (LTC) MARKETING EXPENSE REPORTS	P	PERM.				PERM.		RETAIN PERMANENT. HISTORICAL INFORMATION. MANAGER OF LTC. RETENTION AUTHORITY IS MANAGER'S DECISION.
15	1.5		PROTOTYPE WITH LETTERS	P D	ACT. +10				ACT. +10		RETAIN ACTIVE, PLUS 10 YEARS. RECORDS OVER 10 YEARS MOVE TO MICROFICHE; RETAIN PERMANENTLY IN OFFICE.
16	12		HISTORIC PLAN FILES	P	ACT. +5				ACT. +5		RETAIN ACTIVE, PLUS 5 YEARS. RETAIN PLAN INFORMATION FOR 5 YEARS POST TERMINATION OF CONTRACT. DESTROY MATERIALS ONCE 5 YEARS POST TERM AND NO FURTHER RELATIONSHIP.
17	2		OPEN ENROLLMENT BOOKLETS	P	ACT. Current ACT. +10				ACT. Current ACT. +10		RETAIN ACTIVE, PLUS 10 YEARS. DESTROY REPORTS OVER 10 YEARS OLD.

06-058

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

18	4.5		KAISER	P		PERM.			PERM.		RETAIN PERMANENT. RESOURCE FILES. RETENTION AUTHORITY IS MANAGER'S DECISION.
19	3		WESTERN HEALTH ASSOCIATION (WHA)/ASSOCIATION PLANS	P		ACT. +5			ACT. +5		RETAIN ACTIVE, PLUS 5 YEARS. RETAIN PLAN INFORMATION FOR 5 YEARS POST TERMINATION OF CONTRACT. DESTROY MATERIALS ONCE 5 YEARS POST TERM AND NO FURTHER RELATIONSHIP.
20	3		PAST HEALTH PLANS	P		ACT. +5			ACT. +5		RETAIN ACTIVE, PLUS 5 YEARS RETAIN PLAN INFORMATION FOR 5 YEARS POST TERMINATION OF CONTRACT. DESTROY MATERIALS ONCE 5 YEARS POST TERM AND NO FURTHER RELATIONSHIP.
21	13.5		BLUE SHIELD	P		PERM.			PERM.		RETAIN PERMANENT. RESOURCE FILES. RETENTION AUTHORITY IS MANAGER'S DECISION.
22	2	NOTIFY ARCHIVES	ADMINISTRATIVE FILES BOARD WORKSHOP MATERIALS	P		ACT. +10			ACT. +10		RETAIN ACTIVE, PLUS 10 YEARS. RETAIN IN OFFICE 10 YEARS TO CURRENT. DESTROY DOCUMENTS OVER 10 YRS.
23	7.5	NOTIFY ARCHIVES	CHRONOLOGICAL FILES (HEALTH PLAN CORRESPONDENCE)	P		ACT. +5			ACT. +5		RETAIN ACTIVE, PLUS 5 YEARS. RETAIN PLAN INFORMATION FOR 5 YEARS POST TERMINATION OF CONTRACT. DESTROY MATERIALS ONCE 5 YEARS POST TERM AND NO FURTHER RELATIONSHIP.
24	3		HEALTH PLAN DOCUMENTS	P		PERM.			PERM.		RETAIN PERMANENT. RESOURCE FILES. RETENTION AUTHORITY IS MANAGER'S DECISION.
25	.5		PHONE LOGS OF MONTHLY PHONE CALLS	P		PERM.			PERM.		RETAIN ^{Active} PERMANENT. RESOURCE FILES. RETENTION AUTHORITY IS MANAGER'S DECISION.
27	20		SUBJECT HEALTH PLAN ADMINISTRATION ((HPPA FILES (A-CA TO Q-Z)	P		PERM			PERM		RETAIN PERMANENT. RESOURCE FILES. RETENTION AUTHORITY IS MANAGER'S DECISION...
28	3		CONTRACT RENEWAL QUESTIONNAIRES	P		ACT. +5			ACT. +5		RETAIN ACTIVE, PLUS 5 YEARS. RETAIN PLAN INFORMATION FOR 5 YEARS POST TERMINATION OF CONTRACT. DESTROY MATERIALS ONCE 5 YEARS POST TERM AND NO FURTHER RELATIONSHIP.

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						OFFICE	DEPT.	SRC	TOTAL		
(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)
29	2.5		RATE RENEWALS	P		ACT. +5			ACT. +5		RETAIN ACTIVE, PLUS 5 YEARS. RETAIN PLAN INFORMATION FOR 5 YEARS POST TERMINATION OF CONTRACT. DESTROY MATERIALS ONCE 5 YEARS POST TERM AND NO FURTHER RELATIONSHIP.
30	6	NOTIFY ARCHIVES	BOARD MEETINGS & HEALTH BENEFITS COMMITTEE DOCUMENTS	P		PERM			PERM		RETAIN PERMANENT. RESOURCE FILES. RETENTION AUTHORITY IS MANAGER'S DECISION.
31	3		CONSTITUENT WORKSHOP MEETINGS	P		PERM			PERM		RETAIN PERMANENT RESOURCE FILES. RETENTION AUTHORITY IS MANAGER'S DECISION.
32	3	NOTIFY ARCHIVES	SPEECHES & BOARD WORKSHOPS	P		PERM			PERM		RETAIN PERMANENT. RESOURCE FILES. RETENTION AUTHORITY IS MANAGER'S DECISION.
33	24		HEALTH PLAN CONTRACTS (CABINETS 8-9)	P		CURRENT +5			CURRENT +5		RETAIN CURRENT. RETAIN IN OFFICE ALL CURRENT CARRIER CONTRACTS INDEFINITELY, THEN RETAIN FOR 5 YEARS POST TERMINATION OF PLAN AND THEN MOVE TO STATE RECORD CENTER.
34	12		HEALTH PLAN CONTRACTS (CABINET 10)	P		PERM			PERM		RETAIN PERMANENT. RESOURCE FILES. RETENTION AUTHORITY IS MANAGER'S DECISION.
35	2		COST RENEWAL QUOTATION (CRQ) FILES/ RATE RENEWAL	P		ACT. +10			ACT. +10		RETAIN ACTIVE, PLUS 10 YEARS. RETAIN IN OFFICE 10 YEARS, THEN DESTROY.
36	1		COST RENEWAL QUOTATION (CRQ) FILES/ QUESTIONNAIRES/ KAISER OUT OF STATE PACKETS	P		CURRENT			CURRENT		RETAIN AS CURRENT YEAR IN OFFICE, PLUS PREVIOUS YEAR, AND THEN DESTROY AFTER 2 YEARS.
37	15		MISCELLANEOUS HPPA FILES	P		PERM			PERM		RETAIN PERMANENT. RESOURCE FILES. RETENTION AUTHORITY IS MANAGERS DECISION.
38	1		PERSONNEL FILES (TIMESHEETS ETC.)	P		ACTIVE			ACTIVE	XI	RETAIN AS ACTIVE UNTIL EMPLOYEE LEAVES/TERMINATES OR SEPARATES. CERTIFY DESTRUCT PAPER.
39	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.

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						OFFICE	DEPT.	SRC	TOTAL		
(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)
40			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.
41			STD FORM 73, RECORDS RETENTION SCHEDULE APPROVAL REQUEST AND RECORDS RETENTION SCHEDULE	P		CURRENT			CURRENT		RETAIN AS CURRENT UNTIL REVISED.
42	35		PREMIUM EXPENDITURE AND ACCOUNTING FILES. ADMINISTRATIVE FEE PROCESSING INVOICES	P		<i>Active</i>		PERM	PERM	X	RETAIN PERMANENT. CONTAINS VALUABLE HISTORICAL INFORMATION. DISCLOSURE AUTHORITY G.C. SECS. 6254 © AND 20134, 20134.1 AND CC SEC 1798.34. (PER-CARE ADMINISTRATION). RECORDS LOCATED ON TRANSFER LIST 1362, 1451, AND 1592.
43	2		MEDCO ENFORCEMENT AND RECOVERY BACKUP AND CORRESPONDENCE.	P		<i>Active</i>		PERM	PERM	X	RETAIN PERMANENT. CONTAINS VALUABLE HISTORICAL INFORMATION. DISCLOSURE AUTHORITY G.C. SECS. 6254 © AND 20134, 20134.1 AND CC SEC. 1798.34 (PER-CARE ADMINISTRATION). RECORDS LOCATED ON TRANSFER LIST 1363.
44	2		MEDICARE ELIGIBILITY PROJECT (HBD 12'S)	P		<i>Active</i>		PERM	PERM	X	RETAIN PERMANENT. CONTAINS VALUABLE HISTORICAL INFORMATION. DISCLOSURE AUTHORITY G.C. SECS. 6254 © AND 20134, 20134.1 AND SEC CC SEC. 1798.34. (PERS-CARE ADMINISTRATION). RECORDS LOCATED ON TRANSFER LIST 1388.
	346 C.F.		TOTAL CUBIC FEET (RECORDS ONLY)								

* Provide total of office and departmental

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

SUMMARY OF CHANGES: Health Benefits Branch – Health Plan

RECORDS IN THE OLD RRS HAVE CHANGE THE NAME IN THE RECORDS TITLE - IN NEW SCHEDULE ITEMS

93-201 NEW RRS

ITEM #	ITEM #
1	38
2	32
3	35
4 *	23
5	4
6	16
7-*	20 & 10
8 #	
9	18
10 # *	
11 # *	
12 *	6
13	33 & 34
14 *	24
15 *	10
16	42
17	43
18	9
19	1
20 *	10
21 *	22
22 *	22
23 #	
24	44

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

- Indicates records no longer required by program.

T - Indicates records transferred to the branch office for retention.

Items # 3, 8, 11, 12, 13, 14, 18, 19, 21, 25, 27, 28, 29, 30, 31, 32, 36, 37, 39, 40, 41 are new items in the new RRS. Number 26 missing in new schedule.