STATE OF CALIFORNIA – SECRETARY OF STATE

RECORDS RETENTION SCHEDULE

STD.73 (REV. 2/2015)

STATE RECORDS PROGRAM

(1) DEPARTMENT*	(2) AGENCY BILLING CODE	IMS CODE	(3)
Department of Health Care Services	85341		PAGE 1 OF 5 PAGES

(4) DIVISION / BRANCH / SECTION	(5) ADDRESS
Capitated Rates Development Division (CRDD)	1501 Capitol Avenue, MS 4413, Sacramento, CA 95814

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 (9)–(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.)*

	(9) SCHEDULE NUMBER	(10) SCHEDULE DATE	(11) NUMBER OF PAGES	(12) CUBIC FEET *(Total Schedule)*
NEW SCHEDULE INFORMATION (If applicable)	H15-14	Aug 10, 2015	5	640
PREVIOUS SCHEDULE INFORMATION (If applicable)	(13) SCHEDULE NUMBER	(14) APPROVAL NUMBER	(15) APPROVAL DATE(S)	(16) PAGE NUMBER(S) REVISED

(17) FUNCTIONAL STATEMENT

CRDD is responsible for the accuracy and integrity of data used to calculate and implement capitation rates in compliance with contractual and regulatory requirements.

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	(19) TITLE	NAME - *(Printed or Typed)*	(20) PHONE NUMBER	(21) DATE SIGNED
Jennifer Lopez	Acting Division Chief	Jennifer Lopez	449-5053	8/14/15

In accordance with Government Code 12274, approval of this Records Retention Schedule by the Secretary of State 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 MANAGEMENT ANALYST	(23) CLASSIFICATION	(24) NAME - *(Printed or Typed)*	(25) PHONE NUMBER	(26) DATE SIGNED
Marquise Scott	SSA	Marquise Scott	552-9155	8/14/15

PART II A – SECRETARY OF STATE APPROVAL *(Per Government Code Section 12272)*

(27) SIGNATURE - CalRIM CONSULTANT	NAME - *(Printed or Typed)*	(28) APPROVAL NUMBER	(29) APPROVAL DATE	(30) EXPIRATION DATE
Javier C. Sanchez	JAVIER C. SANCHEZ	2015-193	8/18/2015	8/18/2020

PART II B – ARCHIVAL SELECTION *(Per Government Code Section 12223)*

THE ATTACHED RECORDS RETENTION SCHEDULE:

(31) ☐ Contains no material subject to further review by the California State Archives

GC#37805

(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	NAME - *(Printed or Typed)*	(34) DATE SIGNED
Sydney Bailey	Sydney Bailey	8/21/15

FOR ARCHIVES STAMP

CALIFORNIA STATE ARCHIVES

*Department refers to any Agency, Department, Board, Commision, Office or Other

STATE OF CALIFORNIA - SECRETARY OF STATE

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(35) APPROVAL NUMBER 2015-193

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 OFFICE (43)	RETENTION DEPT. (44)	RETENTION SRC (45)	RETENTION TOTAL (46)	PRA & IPA (47)	REMARKS (48)
			ADMINISTRATIVE RECORDS								
1	27		Training Material	P		6 Months			6 Months		Retain for six months following the close of the fiscal year in which the request is approved or denied then destroy.
2	1		Procurement and Supply	P		Active +1			Active +1		Retain one year from end of fiscal year. After one year, destroy after audit or four years, whichever occurs first.
3	1		Travel and Transportation Records: Travel Requests, Expense Claims, Reimbursement, and Out-of-State travel.	P		Active +4			Active +4		Retain at least four years from end of fiscal year in which expenses are to be incurred. (Revised from DGS guidelines to comply with EO B-5-11)
4	3		Employee Records	P		Active +1			Active +1	XI	Active until employee leaves/terminates. PRA 6254, IPA 1798.40, Confidential Destruction. (CD)
5	1		Supply Orders	P		Active +7			Active +7		Active until items received (7 years if subject to audit)
			PROGRAM RECORDS								
6	5		Correspondence and chronological files from general public	P		Active +3			Active +3		Retain as active for three years from date finalized then destroy
7	80		Financia Statements/Reviews/Analysis	P		Active +7			Active +7		Retain as active until end of fiscal year then seven years.

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8	11		Capman Reference Material	P		Active +7			Active +7		Retain as active until end of fiscal year then seven years.
9	26		Mercer Invoices	P		Active +7			Active +7		Retain as active until end of fiscal year then seven years.
10	80		Rate Files	P		Active +7			Active +7		Retain as active until end of fiscal year then seven years.
11	50	NOTIFY ARCHIVES	Senate Bills	P		Active +7			Active +7		Retain as active until end of fiscal year then seven years.
12	50	NOTIFY ARCHIVES	Assembly Bills	P		Active +7			Active +7		Retain as active until end of fiscal year then seven years.
13	50	NOTIFY ARCHIVES	Legislation Bills	P		Active +7			Active +7		Retain as active until end of fiscal year then seven years.
14	17		Supplemental Maternity Payments	P		Active +7			Active +7		Retain as active until end of fiscal year then seven years.
15	33		Audits & Program QIF Reconciliations			Active +7			Active +7		Retain as active until end of fiscal year then seven years.
16	5		SCAN 2008/2009 Medicaid Bids	P/E		Active +7			Active +7		Retain as active until end of fiscal year then seven years.
17	11		PACE Development	P		Active +7			Active +7		Retain as active until end of fiscal year then seven years.
18	11		Dental Rates Development	P		Active +7			Active +7		Retain as active until end of fiscal year then seven years.

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19	5	NOTIFY ARCHIVES	Long Term Care Policy Changes	P		Active +7			Active +7		Retain as active until end of fiscal year then seven years.
20	5		SAS Programming	P		Active +7			Active +7		Retain as active until end of fiscal year then seven years.
21	33		Inter-Governmental Transfers	P		Active +7			Active +7		Retain as active until end of fiscal year then seven years.
22	6		Budget Change Proposal	P		Active +7			Active +7		Retain as active until end of fiscal year then seven years.
23	6		MLR Evaluations	P		Active +7			Active +7		Retain as active until end of fiscal year then seven years.
24	6		Assumptions	P		Active +7			Active +7		Retain as active until end of fiscal year then seven years.
25	6		Medi-Cal Estimate/Budget	P		Active +7			Active +7		Retain as active until end of fiscal year then seven years.
26	8	NOTIFY ARCHIVES	Policy Changes	P		Active +7			Active +7		Retain as active until end of fiscal year then seven years.
27	50		Health Plan Correspondence	P		Active +7			Active +7		Retain as active until end of fiscal year then seven years.
28	26		RDT's	P		Active +7			Active +7		Retain as active until end of fiscal year then seven years.

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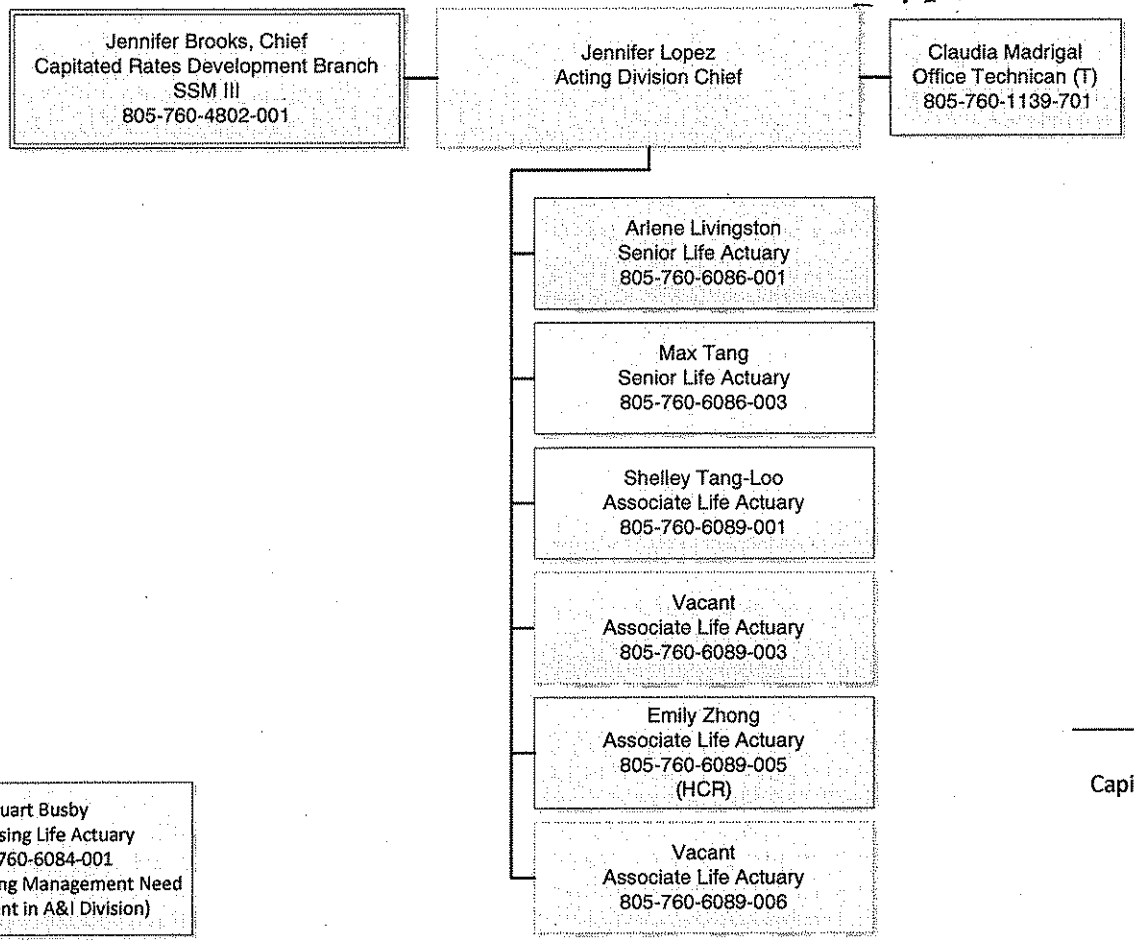
29	6		HQAF	P		Active +7			Active +7		Retain as active until end of fiscal year then seven years.
30	15		Meeting Notes	P		Active +7			Active +7		Retain as active until end of fiscal year then seven years.
31			IGT's	E		Active +7			Active +7		Retain as active until end of fiscal year then seven years.
32			Encumbrances	E		Active +7			Active +7		Retain as active until end of fiscal year then seven years.
33			CMS Rate Packages	E		Active +7			Active +7		Retain as active until end of fiscal year then seven years.
34			Rates for HP's	E		Active +7			Active +7		Retain as active until end of fiscal year then seven years.
35			Mercer Provider Rates	E		Active +7			Active +7		Retain as active until end of fiscal year then seven years.
36			Increments	E		Active +7			Active +7		Retain as active until end of fiscal year then seven years.
37	6		Mercer Contracts	P/E		Active +7			Active +7		Retain as active until end of fiscal year then seven years.
38			Capitation Reports	E		Active +7			Active +7		Retain as active until end of fiscal year then seven years.

Capitated Rates Development Division

July 2015

2015-193



Stuart Busby
Supervising Life Actuary
805-760-6084-001
(On Compelling Management Need
Assignment in A&I Division)

Jennifer Lopez, Acting Chief
Capitated Rates Development Division