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	85034		PAGE 1 OF 6 PAGES

(4) DIVISION / BRANCH / SECTION	(5) ADDRESS
Managed Care Operations Division (MCOD)	1501 Capitol Avenue, MS 4401, 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.)*

NEW SCHEDULE INFORMATION (If applicable)	(9) SCHEDULE NUMBER H15-15	(10) SCHEDULE DATE Aug 10, 2015	(11) NUMBER OF PAGES 6	(12) CUBIC FEET *(Total Schedule)* 859
PREVIOUS SCHEDULE INFORMATION (If applicable)	(13) SCHEDULE NUMBER	(14) APPROVAL NUMBER	(15) APPROVAL DATE(S)	(16) PAGE NUMBER(S) REVISED

(17) FUNCTIONAL STATEMENT

The MCOD focuses on the operational and program activities to meet the demanding needs of providing health care to all Medi-Cal beneficiaries.

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
	Division Chief	Javier Portela	449-5234	8/11/15

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
	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	2015-194	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# 37806

(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	8/21/15

FOR ARCHIVES STAMP

CALIFORNIA STATE ARCHIVES

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

RECORDS RETENTION SCHEDULE

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(35) APPROVAL NUMBER 2015-194

(36)

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	3		Training Requests	P/E		6 months			6 months		Retain for a period of six months following the close of the fiscal year in which the request is approved or denied then destroy.
2	9		Purchase Requisitions/Service Orders	P/E		Active +7			Active +7		Retain seven years from end of fiscal year in which invoice was paid. Destroy after the required seven years or when audited by the Bureau of State Audits (BSA) or the Department of General Services (DGS), whichever occurs first.
3	4		Non-Health Plan Contracts	P/E		Active +7			Active +7		Retain as active until final payment under the contract, then retain for seven years or audit whichever comes first.
4	4		Vendor Invoices	P		Active +7			Active +7		Retain as active until end of fiscal year then seven years or until audited, whichever comes
5	3		BCC/BCPs	P/E		Active +7			Active +7		Retain at least seven years from end of fiscal year affected or until audited, whichever occurs first.
6	4		Budget Fiscal	P/E		Active +7			Active +7		Retain for seven years or until audited, whichever comes first.

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7	3		CalStars Budget Files	P/E		Active +7			Active +7		Retain for seven years or until audited, whichever comes first.
8	1		Printing Requistions	P		Active +7			Active +7		Retain seven years from end of fiscal year in which invoice was paid. Destroy after the require seven years or when audited by the Bureau of State Audits (BSA) or the Department of General Services (DGS), whichever occurs first.
9	1		Time Studies	P/E		Current			Current		Retain as current until superseded.
10	1		Travel Requests, Expense Claims, Reimbursement, Out-of-State Travel	P/E		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)
11	25		Employee Records: Enrollment/Disenrollment Documents	P/E		Active +2			Active +2	XI	Retain as active until employee separates from state services. Then retain according to type of separation. (Two years from effective date for resignation, layoff, retirement, and rejection or until employee reaches age for 70 for disability, disciplinary action, resignation, AWOL). PRA 6254, IPA 1798.40.

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12			Request for Personnel Action (RPA) STD 680	E		Current +4			Current +4		Retain as current until end of tax year of transaction then retain for four years.
13	43		Examination Announcements, Interviews, Application for Vacancies, Appointments, Certifications, etc.	P/E		Active +2			Active +2	XI	Retain for two years or until list expires, whichever is longer. PRA 6254, IPA 1798.40
14	1		Employee Emergency Forms, Ergonomic Evaluations, etc.	P		Current			Current	XI	Retain as current until superseded or cancelled. PRA 6254; IPA 1798.40
15	1		Organizational Charts	P/E		Current			Current		Retain as current until revised or superseded.
16			STD 700 Conflict of Interest Statements	E		Current +1			Current +1		Retain as current until superseded or employee separates then retain one year.
17	1		Timesheets	P		Active +1			Active +1	XI	Active until employee leaves/terminates. PRA 6254, IPA 1798.40, Confidential
			PROGRAM RECORDS								
			MANAGED CARE SYSTEMS & SUPPORT BRANCH								
18	22		Health Care Plans (HCP) forms	P/E		Current			Current		Retain as current until revised, updated, or superseded.

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19	22		Operating Instruction Letters (OILS)	P/E		Current			Current		Retain as current until revised, updated, or superseded.
20			Information Technology Procurements	E		Current +7			Current +7		Retain for 7 years or audited, whichever occurs first
21			Information Technology Inventory	E		Current			Current		Retain as current until revised, updated, or superseded.
22	6		Information Technology Equipment Guides	P/E		Current			Current		Retain as current until revised, updated, or superseded.
23	6		Information Technology Equipment Guides	P/E		Current			Current		Retain as current until revised, updated, or superseded.
24	11		System Access Requests/Forms	P/E		Current			Current		Retain as current until revised, updated, or superseded.
25	11		Information Technology Projects	P/E		Current			Current		Retain as current until revised, updated, or superseded.
26			Health Plan Deliverable Reviews	E		Current			Current		Retain as current until revised,
27	29	NOTIFY ARCHIVES	Deliverables/Annual Reports	P/E		Active +2			Active +2		Retain as active until revised then 2 years.
28	44		Braile copies of CalMediConnect choice book, guide book, notices (90-day, 60-day, 30-day)	P		Current +3			Current +3		Retain as current until superseded then retain 3 years.

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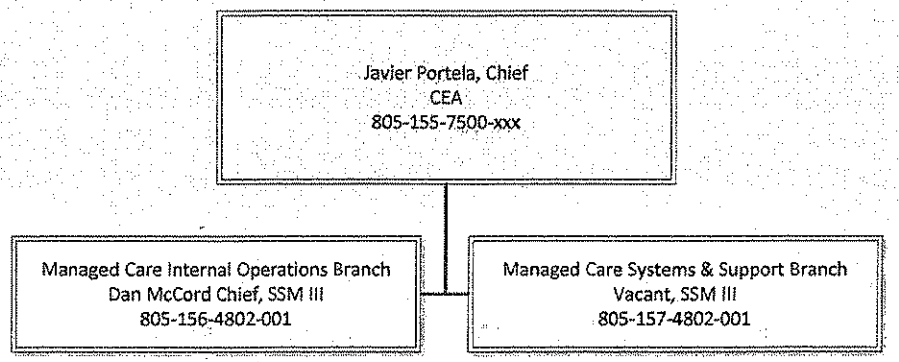
29	44		Audio copies of CalMediConnect choice book, guide book, notices (90-day, 60-day, 30-day)	P/M		Current +3			Current +3		Retain as current until superseded then retain 3 years.
30	44		John Samples of CalMediConnect guide book and choice book	P		Current +3			Current +3		Retain as current until superseded then retain 3 years.
31	2		Employee Records	P		Active +1			Active +1	XI	Active until employee leaves/terminates. PRA 6254, IPA 1798.40, CD
32	2		Job Applications	P		2			2	XI	PRA 6254, IPA 1798.40, GC 1296, CD
33			Attendance Records	E		Active +1			Active +1	XI	Active until employee leaves/terminates. PRA 6254, IPA 1798.40, CD
			MANAGED CARE INTERNAL OPERATIONS BRANCH								
			Capitation Payment Unit								
34	372		Contracts and Invoices	P/E		Active +3		4	Active +7		Retain as active until final payment under the contract, then retain for seven years or audit whichever comes first.
			Contract Administration Unit								
35	140		Contracts	P/E		Active +8			Active +8		Retain as active until final payment under the contract, then retain for eight years or audit whichever comes first.

2015-194



Javier Portela, Chief
Managed Care Operations Division