STD 73 (REV. 6/2002)
RECORDS RETENTION SCHEDULE

GC 28272

STATE OF CALIFORNIA – DEPARTMENT OF GENERAL SERVICES
STATE RECORDS PROGRAM

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, BOARD OR COMMISSION	(2) AGENCY BILLING CODE	(3)
Health Care Services	85097	PAGE 1 OF 4 PAGES

(4) DIVISION/ BRANCH/ SECTION	(5) ADDRESS
Audits and Investigations/Investigations Branch/East Section/Includes the following offices: Orange, Santa Ana, West Covina and Rancho Cucamonga Offices	770 The City Dr. So. #7300 Orange, CA 92868 (Section HQ) 28 Civic Center Plaza, Room 543 Santa Ana, CA 92701 1000 The Lakes Drive, Suite 330 West Covina, CA 91790 9439 Archibald Ave, Suite 108 Rancho Cucamonga, CA 91730

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 H07-21	(10) SCHEDULE DATE 11/29/07	(11) NUMBER OF PAGES 4	(12) CUBIC FEET (*Total Schedule*) 246.02
PREVIOUS SCHEDULE INFORMATION (*If applicable*)	(13) SCHEDULE NUMBER	(14) APROVAL NUMBER	(15) APPROVAL DATE (S)	(16) PAGE NUMBER(S) REVISED – 1

(17) MISSION/FUNCTIONAL STATEMENT: The mission of A & I is to ensure the fiscal integrity, efficiency and quality of the California Department of Health Care Services internal and external programs. As part of its mission, Audits and Investigations: Promotes sound management of public funds, Performs specific audits of CDHCS operations and medical and financial audits of Medi-Cal and public health providers, Conducts investigations of suspected violations of Medi-Cal laws and regulations, Aggressively recovers public funds spent inefficiently or illegally, Uses the insights gained through audit and investigative activities to provide technical assistance to departmental programs and to external organizations working with CDHCS, Has the lead responsibility for the CDHCS Medi-Cal Anti-Fraud program. THIS SCHEDULE IS FOR THE EAST SECTION OFFICES ONLY, which includes the Orange, Santa Ana, West Covina and Rancho Cucamonga offices.

Acronyms used; PRA = Public Records Act 6254 IPA = Information Practices Act 1798.40 CD = Confidential Destruction

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	(20) PHONE NUMBER	(21) DATE SIGNED
[signature]	Section Chief	714-703-2600	11/30/07

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	(23) CLASSIFICATION	(24) NAME (*Printed or Typed*)	(25) PHONE NUMBER	(26) DATE SIGNED
Lynse Everett	RMA	Lynse Everett	552-9155	12/10/07

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

(27) SIGNATURE –CalRIM CONSULTANT	(28) APPROVAL NUMBER	(29) DATE SIGNED	(30) EXPIRATION DATE
[signature]	08-070	2/26/2008	2/26/2013

PART III – ARCHIVAL SELECTION (*Per Government Code Section 14755*) **FOR ARCHIVES' STAMP**

08-070

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 (Exempt) & IPA (47)	REMARKS (48)

THE ATTACHED RECORDS RETENTION SCHEDULE:

(31) [X] 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: Sydney Bailey, Archivist

(34) DATE SIGNED: 3/10/08

CALIFORNIA STATE ARCHIVES

AUDITS AND INVESTIGATIONS
INVESTIGATIONS BRANCH
EAST

INVESTIGATIONS - EAST
Michael Pearlman — SFI-II
806-306-8066-001

Vacant — MST
806-306-5278-701 — Eff. 7-23-07

ORANGE
Rod Crabb — SFI-I
806-306-8065-003

- Jeff Diamond — FI — 806-306-8064-004
- Vacant — FI — 806-306-8064-007 — Eff. 5-14-07
- Carmen Alfaro — FI — 806-306-8064-018
- Abraham Laveaga — FI (B) — 806-306-8064-029
- Daravuth Chhouk — FI (B) — 806-306-8064-030
- Kim Bach — FI (B) — 806-306-8064-035
- Michael DeGuzman — FI — 806-306-8064-036
- Laura Cresswell — FI — 806-306-8064-037
- Kevin Terry — FI — 806-306-8064-038
- Thomas Merchant — FI — 806-306-8064-042

RANCHO CUCAMONGA - UNIT I
Manuel Jorge — SFI-I
806-308-8065-001

- Frank Perez — FI (B) — 806-308-8064-005
- Hector Quintanar — FI (B) — 806-308-8064-009
- Ricardo Brito — FI (B) — 806-308-8064-014
- Peter Arnold — FI — 806-308-8064-028
- Maria Celis — OT-T (B) — 806-308-1139-801

RANCHO CUCAMONGA - UNIT II
Sally Salazar — SFI-I
806-308-8065-002

- Robert Sierra — FI (B) — 806-308-8064-018
- James Cooper — FI — 806-308-8064-032
- Monica Wellenstein — FI (B) — 806-308-8064-040
- Helen Montes — FI — 806-308-8064-041
- Samedi Sar — FI — 806-308-8064-042
- Rosa Ruedas — FI (B) — 806-308-8064-043

WEST COVINA
Holly Collins — SFI-I
806-312-8065-001

- Romano Rinaldi — FI — 806-312-8064-015
- Maria Ezoe — FI (B) — 806-312-8064-032
- Maria Diaz — FI (B) — 806-312-8064-033
- Gloria Pinilla — FI — 806-312-8064-036
- Napoleon Tuiteleapaga — FI — 806-312-8064-037
- Michael LaVoie — FI — 806-312-8064-038
- Ramon San Juan — FI — 806-312-8064-039
- Annalee Ercillo — WPT — 806-312-1181-001

MEDI-CAL FRAUD PREVENTION-SOUTH
Doug Garren — SFPS - I
806-315-4027-001

- Aristeo Torres — FPS — 806-315-4026-001
- Jeffrey Phillips — FPS — 806-315-4026-002
- Luanne Schuler — FPS — 806-315-4026-003
- Joseph Garcia — FPS — 806-315-4026-004
- Judith Chew-Darke — FPS — 806-315-4026-005
- Ernest Carracho — FPS — 806-315-4026-007

770 The City Drive, South, 7300
Orange, CA 92868
9439 Archibald Ave, Suite 108
Rancho Cucamonga, CA 91730
1000 The Lakes Drive, 330
West Covina, CA 91790
28 Civic Center Plaza, 543
Santa Ana, CA 92701

08-070

B = Bilingual

David Botelho
Deputy Director
July 1, 2007

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 (Exempt) & IPA (47)	REMARKS (48)
			ADMINISTRATIVE MANAGEMENT							X=exempt due to PRA I=exempt due to IPA	
1	5		Personnel Records	P		Active + 2			Active + 2	XI	PRA/IPA/CD. Active until 2 years after employee transfers or leaves state service.
2	3		Attendance	P		Active + 2			Active + 2	XI	PRA/IPA/CD. Same as item 1.
3	10		Supervisor Employee Files	P		Active + 2			Active + 2	XI	PRA/IPA/CD. Same as item 1.
4	5		Monthly Production Reports	P		Active + 7			Active + 7		
5	3		Travel Claims	P		Active + 5			Active + 5		
6	.02		Records Retention Schedule & Annual Records Holdings and Destruction Report	P		Current			Current		Current ~~Active~~ until revised, superseded or rescinded.
7	1		Expense Reports	P		Active + 5			Active + 5		
8	1		Purchase Requests	P		Active + 5			Active + 5		
			PROGRAM MANAGEMENT								
9	49		Open Full Field Cases (Case files contain evidence, reports, affidavits, billing printouts, criminal history and DMV printouts in relation to the investigation of Medi-Cal beneficiary and provider fraud)	P		Active			Active	XI	PRA/IPA/CD. Active until case closes.
10	110		Closed Full Field Cases (Case files contain evidence, reports, affidavits, billing printouts, criminal history and DMV printouts in relation to the investigation of Medi-Cal beneficiary and provider fraud)	P		Active + 7			Active + 7	XI	PRA/IPA/CD. Retained in office due to appeals, prosecutions actions, recovery efforts, referrals and lawsuits. Retention period may be extended.
11	10		Closed Early Fraud Detection Program Cases	P		Active			Active	XI	PRA/IPA/CD. Retained in office due to appeals. Retention

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12	6		Mailings regarding Border Cases	P		Active			Active	XI	PRA/IPA/CD. Required by Rocio vs. Bonta court order to be held in office.
14	43		Evidence	P		Active +7			Active + 7	XI	PRA/IPA/CD. Same as item 10.
Total	246.02 cubic ft.										

* Provide total of office and departmental

INSTRUCTIONS FOR FILLING OUT MS Word ELECTRONIC FORM

The California Records and Information Management (CalRIM) Program of the Department of General Services will review schedules for compliance with their Records Retention Handbook , Records Retention Schedule Guidelines and the records retention section of the California Acquisition Manual. The Chief of State Archives in the Office of the Secretary of State will review schedules for records series worthy of preservation for historical or research purposes. Titles, and descriptions of records listed on the schedule must be sufficiently detailed to insure understanding by persons unfamiliar with the business process of the department. For additional information concerning the scheduling of records refer to the aforementioned publications available on the DGS website (www.dgs.ca.gov).

* The attached form is formatted as a table; therefore, to add line items after page two, add additional rows to make formatting easier and consistent.

1. Department that the schedule belongs to.
2. Enter the appropriate billing code of the department.
3. Enter page numbers and total pages (e.g. 1 of 3, 2 of 3)
4. Division/ branch/ section within the department.
5. Address of the division/ branch/ section.
6. Double Click on the box if submitting a new schedule.
7. Double Click on the box if submitting a revision to previous schedule.
8. Double Click on the box if amending pages of a previous schedule.
9. Each department should establish it's own system of numbering schedules. Enter the assigned number on each page.
10. Enter the date schedule was prepared.
11. Enter total number of pages of the schedule.
12. Enter the total number of cubic feet for all items scheduled (round off to nearest cubic foot).
13. If applicable, enter the schedule number from the previous schedule.
14. If applicable, enter the approval number assigned to the previous schedule.
15. If applicable, enter the CalRIM approval date shown in block 28 of the previous schedule on STD 73 Rev.6-02. (Block 22 if referring to STD 72 Rev. 2-96 on the previous schedule.
16. If applicable, enter the total number of pages included on the previous schedule.
17. Enter the mission/functional statement for the entity responsible for the records described on the schedule.
18. Signature of manager responsible for the records.
19. Manager's title.
20. Manager's phone number.
21. Date schedule signed by the manager.
22. Signature of the department's records management analyst (RMA).
23. Enter the official state classification of the department's RMA, i.e., Records Management Analyst I, Business Services Officer I, etc.
24. Name of the RMA.
25. RMA's phone number.
26. Date schedule is signed by the RMA.
27. Signature of CalRIM consultant.
28. Approval number assigned by CalRIM consultant.
29. Date schedule signed by CalRIM consultant.
30. This date is computed by adding five years to the date shown in Block 29.
31. This block is checked by the California State Archives if the schedule does not contain archive or long term reference records.
32. This block is checked by the California State Archives if the schedule contains material subject to archival review.
33. Signature of Chief of Archives or designated representative.
34. Date schedule is signed by Archives.
35. Enter the CalRIM Approval number shown in block 28.
36. Page numbers will automatically be entered in this field starting at page 2
37. Item numbers must be sequentially assigned beginning with number 1 on the second page of the schedule.

38. Enter cubic feet of records (office and departmental) contained in each item (round off to nearest cubic foot). Leave blank when scheduling electronic/magnetic records.

39. This column is used by the Chief of Archives to designate records which may be of historical value. If the notation "Notify Archives" appears in this column, the Secretary of State's Archive Unit must be notified before the records can be destroyed or transferred (SAM Section 1673.1).

40. Exact title of the records series must be entered in this column. The same title must also be used on the Records Transfer List, STD 71, if the records are later transferred to the State Records Center. **Do not delete** records for a discontinued program until all such records (including any stored at the Records Center) have been destroyed or ownership transferred to another entity. Acronyms must be spelled out in full the first time they are shown on the schedule.

41. Enter the appropriate storage media code for the series of records described; P-- paper (except for computer printouts); C -- computer printouts; M—magnetic or electronic (computer hard drives, computer tapes or disks, or word processing discs); D – diazo microfilm or microfiche (working copies); S – Silver halide microfilm; RM – Removable Media consisting of ZIP, JAZ , etc.; CD – Compact Disk, etc.; OD – Optical Disk; RAID (redundant array of independent disks).

42. Enter an "X" if the series of records is considered vital (essential) to department operations. Vital records require special protection from loss through the use of vault storage, microfilm, CD, magnetic tape or similar storage media. Enter the method of protection used in Column 48 (Remarks).

43. Enter the length of time the records series will be retained in the office. For records such as active license files or active tax accounts, enter the word "Active" in this column. Then enter the length of time (if any) the records will be held in office space when they are no longer active. In these cases Column 48 must state the event which terminates the active life of the records. Intermediate terms (such as, "indefinite" or "continuous") must be avoided unless specifically stipulated by law or government code.

44. Records removed from office space and retained in less expensive space (such as a basement or other storage area) are considered to be department stored.

45. Records should be stored in the State Records Center when they meet the eligibility test of Section 1681 of the State Administrative Manual. The number of years records will remain in the Records Center must be entered in this column.

46. Enter the total number of years from Columns 43, 44, and 45. Include the active periods, if any.

47. PRA (Exempt) and IPA
    a. Enter an "**X**" if the record is exempt from disclosure under the provisions of the Public Records Act. (Records so identified must show the authority for such exemption in Column 48.)
    b. When the record is exempt from disclosure, but the data subject is allowed access under the provisions of the Information Practices Act, enter an "**I**".

48. Enter information which will explain or clarify treatment of the records, such as: citations from the Public Records Act (Government Code Section 6250 et seq.), Information Practices Act (Civil Code Section 1798 et seq.) or other State or federal statutes, the State Administrative Manual (SAM), California Acquisition Manual (CAM), State or Federal audit guidelines, Attorney General's instructions, or agency policy statements, etc. Other helpful information includes, but is not limited to:
    a. Events that trigger purging, updating or transferring records, or that terminate active status.
    b. Cross references to previous retention schedules under which material is stored at a records center, such as "See superseded Schedule 58, Item 166, Approval 88-200."
    c. Type of destruction required when the records have reached the end of their retention period (such as, confidential witnessed destruction).
    d. Authority that stipulates the retention period of a record series.
    e. Authority that exempts disclosure of information to the public.

Prepare three copies of the schedule and forward all to the California Records and Information Management Program (CalRIM), 707 3rd Street, 2nd Floor, West Sacramento, California 95605, interagency mailing address is Z-1.

This form is provided in MS Word for your convenience. If the required fields or format are altered in any way, CalRIM will not accept the form.