AB 2/19/2002 g

STATE OF CALIFORNIA

RECORDS RETENTION SCHEDULE APPROVAL REQUEST

STD. 72 (REV . 2-96)

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

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

(1) DEPARTMENT, BOARD OR COMMISSION
(1) Insurance (2) Enforcement

DIVISION, BUREAU OR OTHER UNIT
(3) Licensing Background Bureau

ADDRESS
300 Capitol Mall, Suite 265, Sacramento, CA 95814

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)*	LBBI	11/02/01	2	166
PREVIOUS SCHEDULE INFORMATION *(If applicable)*	(9) SCHEDULE NUMBER(S)	(10) APPROVAL NUMBER(S)	(11) APPROVAL DATE(S)	(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
Juliana McCoy	Bureau Chief	November 2, 2001

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: David L. Abetta	(17) TITLE: Records Coordinator
(18) NAME *(Printed or Typed)*: David L. Abetta	(19) TELEPHONE: 916 492-3265
	(20) DATE SIGNED: 11-2-01

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

(21) SIGNATURE--OIS CONSULTANT: Ramona M. Gutierrez	(22) APPROVAL NUMBER: 02-030
(23) TITLE: Records Management Consultant	(24) DATE SIGNED: 2/8/02

PART III -- ARCHIVAL SELECTION *(Per Government Code Section 14755)*

THE ATTACHED RECORDS RETENTION SCHEDULE:

(25) [X] 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

(27) SIGNATURE--CHIEF OF ARCHIVES: Sydney Bailey, Archivist	(28) DATE SIGNED: Feb. 19, 2002

CALIFORNIA STATE ARCHIVES

State of California

Records Retention Schedule

STD. 73 (REV. 5-92)

See Instructions on reverse and in SAM 1600

DEPARTMENT (1)	SCHEDULE NUMBER (2)	DATE (3)
Insurance		
ORGANIZATIONAL UNIT: Licensing Background Bureau	PAGE 1 OF PAGES 2	
ADDRESS (Number Street City): 300 Capitol Mall, Suite 265, Sacramento, CA 95814	DEPARTMENT OF GENERAL SERVICES APPROVAL NUMBER (5): 02-030	

Item Number (Triple Space Between Items) (6)	Cubic Feet* (7)	CALIFORNIA STATE ARCHIVES USE ONLY (8)	TITLE AND DESCRIPTION OF RECORDS (Triple space between Items) (9)	MEDIA (10)	VITAL (11)	RETENTION Office (12)	Dept. (13)	SRC (14)	Total (15)	PRA (Exempt) & IPA (16)	REMARKS

Mission Statement:

To maintain Insurance Consumer safety and protection, and the integrity of the Insurance Industry, through the process of conducting thorough and detailed background investigations.

The Licensing Background Bureau performs the investigative analysis and background screening review process for the Department of Insurance on individuals, corporations, insurance companies, and directors and officers, including those applying for licensure, certificates of authority, admissions, acquisitions, mergers, or other special filing requirements.

Retention Periods:

Retention periods are set by law as cited, or determined by the Licensing Background Bureau Chief and Legal Division Bureau Chief.

1	2		General Correspondence	P		5			5	XI	CGC 6254(d)(4); CCC 1798.34; CIC 12919
2	2		Active unassigned background investigative cases	P		Active			Active	X	CGC 6254(f) Active until closed. Confidential destruction schedule varies depending on type of case disposition/closing as described on the following items #4 to #5 of this schedule.

* Provide total of office and departmental

State of California

Records Retention Schedule

STD. 73 (REV. 5-92)

See Instructions on reverse and in SAM 1600

DEPARTMENT (1)	SCHEDULE NUMBER (2)	DATE (3)
Insurance		
ORGANIZATIONAL UNIT: Licensing Background Bureau	PAGE 2 OF PAGES 2	
ADDRESS (Number Street City): 300 Capitol Mall, Suite 265, Sacramento, CA 95814	DEPARTMENT OF GENERAL SERVICES APPROVAL NUMBER (5): 02-030	

Item Number (Triple Space Between Items) (6)	Cubic Feet* (7)	CALIFORNIA STATE ARCHIVES USE ONLY (8)	TITLE AND DESCRIPTION OF RECORDS (Triple space between Items) (9)	MEDIA (10)	VITAL (11)	RETENTION Office (12)	Dept. (13)	SRC (14)	Total (15)	PRA (Exempt) & IPA (16)	REMARKS
3	30		Active assigned background investigative cases	P		Active			Active	X	CGC 6254(f) Active until closed. Confidential destruction schedule varies depending on type of case disposition/closing as described on items #4 to #5 of this schedule.
4	85		Closed background investigative cases which were referred to the Department's Legal Division (also know as files with Legal file numbers).	P		1		19	20	X or XI	CGC 6254(f); CCC 1798.34 CCC 1798.34 maybe applicable with subpoena. Confidential destruction after 20 years.
5	46		Closed background investigative cases without referral to the Department's Legal Division (files with no file numbers).	P		2		3	5	X	CGC 6254(f) Confidential destruction after 5 years.
6	1		Records Management files, Std. 72, 73, 74, 76	P		5			5		Retained for 5 years upon approval and then disposed by recycling.

* Provide total of office and departmental