

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 e-mail at CalRIM@dgs.ca.gov

(1) DEPARTMENT, BOARD OR COMMISSION INSURANCE		(2) AGENCY BILLING CODE 38555	(3) PAGE 1 OF 2 PAGES	
(4) DIVISION/ BRANCH/ SECTION LICENSE BACKGROUND BUREAU		(5) ADDRESS 300 CAPITOL MALL, 16TH FLOOR SACRAMENTO, CA 95814		
CHECK THE APPROPRIATE BOX				
(6) <input type="checkbox"/> New schedule of records that have never been scheduled. [Complete boxes (9)-(12)]				
(7) <input checked="" type="checkbox"/> Revising a previous schedule. [Complete boxes (13)-(16)] (A new approval number will be assigned.)				
(8) <input type="checkbox"/> 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 LBB 2	(10) SCHEDULE DATE Mar 2007	(11) NUMBER OF PAGES	(12) CUBIC FEET (Total Schedule) 538
PREVIOUS SCHEDULE INFORMATION (If applicable)	(13) SCHEDULE NUMBER LBB 1	(14) APPROVAL NUMBER 02-030	(15) APPROVAL DATE(S)	(16) PAGE NUMBER(S) REVISED 1,2,&3
(17) MISSION/FUNCTIONAL STATEMENT To maintain Insurance consumer Safety, Protection and 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 individuals, corporations, companies directors and officers, including those applying for licensure, certificates of authority, admissions, acquisitions, mergers or other special filing 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 <i>John McF</i>		(19) TITLE BUREAU CHIEF	(20) PHONE NUMBER (916) 492-3427	(21) DATE SIGNED 03/02/2007
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>Lauren Fong-SooHoo</i>	(23) CLASSIFICATION RECORDS MGMT ANALYST	(24) NAME (Printed or Typed) LAUREN FONG-SOOHOO	(25) PHONE NUMBER (916) 492-3331	(26) DATE SIGNED 3/13/07
PART II - DEPARTMENT OF GENERAL SERVICES APPROVAL (Per Government Code Section 14755)				
(27) SIGNATURE - CalRIM CONSULTANT <i>John E. Fort</i>		(28) APPROVAL NUMBER 07-039	(29) DATE SIGNED 3/15/2007	(30) EXPIRATION DATE 3/15/2012
PART III - ARCHIVAL SELECTION (Per Government Code Section 14755)				
THE ATTACHED RECORDS RETENTION SCHEDULE:			FOR ARCHIVES' STAMP	
(31) <input checked="" type="checkbox"/> Contains no material subject to further review by the California State Archives				
(32) <input type="checkbox"/> 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>Smith Johnson</i>		(34) DATE SIGNED 3/28/07		

GL26358

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(35) CalRIM APPROVAL NUMBER 02-030										07-039		(36) PAGE 1 OF 2 PAGES	
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				PRA (Exempt) & IPA (47)	REMARKS (48)		
						OFFICE (43)	DEPT. (44)	SRC (45)	TOTAL (46)				
01	4		GENEERAL CORRESPONDENCE	P		5			5	XI	CGC 6254(D)(4); CCC 1798.34; CIC 12919		
02	48		ACTIVE ASSIGNED BACKGROUND INVESTIGATIVE CASES.	P		active			active		cgc 6254(f) active until closed confidential destruction schedule varies depending on type of case disposition / closing as described on items # 04 to # 05 of this schedule		
03	328		LEGAL FILES, CLOSED BACKGROUND INVESTIGATION. CASES REF. TO LEGAL. SAC # & LBB#	P		2	3	20	25	X OR XI	CGC 6254(F) CCC 1798.34 MAYBE APPLICABLE WITH SUBPOENA CONFIDENTIAL. DESTRUCTION AFTER 25 YEARS		
04	93		INFORMAL FILES CLOSED BACKGROUND INVESTIGATIVE CASES NOT REF TO LEGAL DIVISION	P		1	4		5	X	CGC 6254(F) CONFIDENTIAL DESTRUCTION AFTER 5 YEARS		
05	12		RECORDS MANAGEMENT FILES STD. 71,72,73,& 76	P		2	3		5		RETAINED FOR 5 YEARS. DISPOSED BY RECYCLING.		
06	53 538		CLOSED COMPANY BACKGROUND INVESTIGATION CASES WITHOUT REF. TO DEPT. LEGAL DIVISION CIU AND SURPRI. LINES	P		2	3		5		CGC 6254(F) CONFIDENTIAL DESTRUCTION AFTER 5 YEARS.		

* Provide total of office and departmental

Armas, Manuel

From: Armas, Manuel
Sent: Friday, March 02, 2007 3:34 PM
To: Murrish, David; Soohoo, Lauren
Cc: McCoy, Julianne
Subject: FW: record retention

Lauren & Dave, Below is a detailed account of LBB records retention schedule. I detailed the changes as a result of the confusion with LBB / Investigation Retention schedule. I will be sending you the corrected version signed by my Bureau Chief. If you have any questions don't hesitate contacting me. Thank you
 Manuel ext. 3073

Item # 1 old list from 2cu ft	item # 1 new list ***increased*** 4 cu ft.
Item #2 old list from 11' cu ft. ***removed***	Cases were assigned. Item no longer on list.
Item #3 old list 30 cu ft. *** changed*** to	Item # 2 new list *** increased*** to 48cu ft.
Item #4 old list 543 cu ft. changed to	Item # 3 new list ***reduced *** 328 cu ft. as described below.
Item # 5 old list 196 cu ft changed to destruction/growth.	item # 4 new list ***reduced*** 93 cu ft. as a result of witness
Item # 3 old list 1 cu ft: changed to	item # 5 new list ***increased *** 12 cu ft.
Item # 7 old list 73 cu ft. changed to destruction/growth.	item # 6 new list**** reduced*** 53 cu ft. a result of witness

-----Original Message-----

From: Armas, Manuel
Sent: Friday, March 02, 2007 3:00 PM
To: Soohoo, Lauren
Cc: Dinio, Eda; Cripps, Michael; Murrish, David
Subject: record retention

Hi Lauren, I have a FYI. The last retention schedule LBB 1 had inaccurate information. I was not aware that list 1, 2, 3, 4, & 5 belonged to Investigation Division. In going over LBB's record retention with you today, I was notified of this matter.

For record purposes I want all to be aware of this issue. I will follow up today with a corrected record retention schedule.