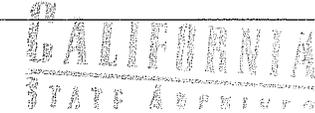


RECORDS RETENTION SCHEDULE

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 38545	(3) PAGE 1 OF 10 PAGES	
(4) DIVISION/ BRANCH/ SECTION Producer Licensing Bureau		(5) ADDRESS 370 Capitol Mall, 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 LIC-10	(10) SCHEDULE DATE March 16, 2010	(11) NUMBER OF PAGES 10	(12) CUBIC FEET (Total Schedule) 6.207.5
PREVIOUS SCHEDULE INFORMATION (If applicable)	(13) SCHEDULE NUMBER LIC-05	(14) APPROVAL NUMBER 05-085 <i>no flags</i>	(15) APPROVAL DATE(S) 6/20/05	(16) PAGE NUMBER(S) REVISED 15
(17) MISSION/FUNCTIONAL STATEMENT The Producer Licensing Bureau screens and tests applicants to make sure they are competent and qualified to be licensed as insurance agents, brokers, solicitors, bail agents, insurance adjusters, and title marketing representatives. Additionally, the Producer Licensing Bureau reviews and approves preclicensing and continuing education standards as set forth in Section 1749-1749.9 of the California Insurance Code.				
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>Charlene Ferguson</i>		(19) TITLE Bureau Chief	(20) PHONE NUMBER (916) 492-3010	(21) DATE SIGNED 3/16/10
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>[Signature]</i>	(23) CLASSIFICATION B501 Records Mgmt Coord.	(24) NAME (Printed or Typed) Lauren Tong, Soubho	(25) PHONE NUMBER 916 492 3331	(26) DATE SIGNED 3/18/10
PART II – DEPARTMENT OF GENERAL SERVICES APPROVAL (Per Government Code Section 14755)				
(27) SIGNATURE – CalRIM CONSULTANT <i>Janin C. Spudz</i>		(28) APPROVAL NUMBER 10-051	(29) DATE SIGNED 3/30/2010	(30) EXPIRATION DATE 3/30/2015
PART III – ARCHIVAL SELECTION (Per Government Code Section 14755)			FOR ARCHIVES' STAMP	
THE ATTACHED RECORDS RETENTION SCHEDULE:				
(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>Sydney Bailey</i>		(34) DATE SIGNED April 9, 2010	AK 29479 	

RECORDS RETENTION SCHEDULE

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(35) CalRIM APPROVAL NUMBER											(36) PAGE 2 OF 14 PAGES	
ITEM #	CUBIC FEET *	CA. STATE ARCHIVES USE ONLY	TITLE AND DESCRIPTION OF RECORDS <i>(Double spaces between items)</i>	MEDIA	VITAL	RETENTION				PRA (Exempt) & IPA	REMARKS	
						OFFICE	DEPT.	SRC	TOTAL			
(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)	
1	5,058		License Permanent Files: A) Accident and Health Agent B) Administrator C) Cargo Shippers' Agent D) Communications Equipment Insurance Agent E) Credit Insurance Agent + F) Fire and Casualty Broker-Agent G) Life Agent (applications prior to 1/2006) + H) Life-Only Agent I) Life Settlement Broker J) Limited Lines Automobile Insurance + K) Motor Club L) Part-Time Fraternal Agent M) Personal Lines Broker-Agent N) Reinsurance Intermediary-Broker Intermediary-Manager	PM				active plus 5 yrs	Active + 5yrs	XI	Retention Authority "Manager Decision" PRA 6254, IPA 1798.4. Permanent files are kept in CDI storage for as long as a person is licensed. This period could be many years. They contain various documents such as applications, company appointments, records, and other documents. These file are considered as units. Confidential destruction takes place in "units" at SRC with entire files destroyed. +	

* Provide total of office and departmental

RECORDS RETENTION SCHEDULE

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(35) CalRIM APPROVAL NUMBER

10-057

(36)

Page 3 of 10 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)		
1	↓		License Permanent Files: (Continued) O) Rental Car Agent Licensing P) Self-Service Storage Agent Q) Surplus Line Broker R) Special Lines' Surplus Line Broker S) Stock Agent T) Title Marketing Representative U) Travel Agent V) Vehicle Service Contract Provider W) Viatical Settlement License	P M			Active plus 5 yrs ↓		Active + 5 yrs ↓	IX	PRA 6254, IPA 1798.4. Permanent files are kept in CDI storage for as long as a person is licensed. This period could be many years They contain various documents such as applications, company appointments, records, and other documents. These file are considered as units. Confidential destruction takes place in "units" at SRC with entire files destroyed.
2a			Licensing Permanent Files	P			Active + 5 yrs		Active + 5 years		Retention Authority "Manager Decision"
2b	198		Bail Agent, Bail Solicitor, Bail Permittee	P M			Active + 5 yrs		Active + 5 years		PRS 6254, IPA 1798.4. Permanent files are kept in department storage for as long as a person is licensed. This period could be many years. They contain various documents such as applications, company appointments, records, and other documents. These files are considered as units. Confidential destruction takes place in "units" at SRC with entire files destroyed. SB added some license designations.
2c	414		X) Insurance Adjuster				6 yrs		6 yrs	XI	
2d	↓		Y) Public Insurance Adjuster				6 yrs		6 yrs		
2e	↓		Z) Interim Public Insurance Adjuster				6 yrs		6 yrs		

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

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 95608
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(35) CalRIM APPROVAL NUMBER

10-051

(36)
 Page 4 of 16 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)		
3	42		Pending Applications	PM		1				XI	PRS 6254, IPA 1798.4. Kept as pending in office for one year from date of application.
4	17		Expired Applications	PM			2		3	XI	PRS 6254, IPA 1798.4. Stored at warehouse after one year pending status expiration date has passed. They then become expired applications. Retention is two years after inception of expired status with confidential destruction in ear three at SRC.
5	46		Renewal Applications	PM		1	2		3	XI	Confidential Destruction.
6	31		Microfiche History Film (New)	D		Perm			Perm	XI	PRA 6254, IPA 1798.4 Historical Records
7	15		Action Notice Appointments/Terminations	PM		1	2		3	XI	PRA 6254, IPA 1798.4 Confidential Destruction.
8	6.5		Organization Endorsements Endorsements/Terminations	PM		1	2		3		Confidential Destruction.
9	1		Certification of License Status Request	P			3		3		Destroyed through recycling.
10	13		Correspondence A) Cashiered Items Printout Requests Duplication License Requests Overpayments Legal Certification Requests	P			3		3		Destroyed through recycling.

RECORDS RETENTION SCHEDULE

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(35) CalRIM APPROVAL NUMBER											(36) Page <u>5</u> of <u>10</u> 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)			
11	2		Correspondence B) Non-cashiered Items			1			1		Destroyed through recycling.	
12	4		Reciprocal Agreements with other states.	P		active			active		Until superseded by law change.	
13	2		NAIC Lists of Persons from other states who have had their license suspended or revoked in other states.	P M		5			5		PRS 6354, IPA 1798.4	
14	9		Work Control Logs A) Examination Rosters B) Action Notice/Organization Endorsements C) To Investigations	P		1	2		3		Destroyed through recycling.	
15	1		Work Control Logs Renewals	P		1			1		Destroyed through recycling.	
16	1		Incoming Mail Desk Log A) Certified Mail B) Postage Due (P.O.) C) Incoming Work	P		3 mos Active 1			3 mos Active 1			
17	1		License Number Assignment Control Bank	P		Active			Active			
18	1		Fingerprint Waiver Forms	P		Act+5			Act+5		Attached to and destroyed with application.	
19	1		Overtime Sheets (Supervisor)	P		1			1		Destroyed through recycling.	
20	1		Supervisor Overtime Logs	P		1			1		Destroyed through recycling.	
21	1		Work Status Sheets (Processing Sups)	P		2			2		Destroyed through recycling.	

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RECORDS RETENTION SCHEDULE

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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)			
22	1		Processing Supervisor Work Assignment Sheets	P		2			2		Destroyed through recycling.	
23	1		Renewal License Pull List	P		1 wk			1 wk		Destroy when search is complete. Non-confidential.	
24	1		License Bureau Request for Supplies and forms (Intermac)	P		1			1		Destroyed through recycling.	
25	2		Office of the Chief, Producer Licensing Bureau A) General Correspondence 1. To concerns outside of licensing. 2. From concerns outside of licensing.	P			2		2		Office working files.	
26	6		Office of the Chief, Producer Licensing Bureau B) Producer Licensing Bureau budget related materials. C) Various research study related materials. D) Workload Statistics E) Various Subject Files F) Producer Licensing Bureau Operational Plans G) Bulletins & Rules	PM							Office working files.	
27	3		Manager – Producer Licensing Statistical Reports A) Report of active producers by the number of active licenses (by entity) B) Cashier Reports	P M		3 3			3 3			

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26a

26b

RECORDS RETENTION SCHEDULE

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(35) CalRIM APPROVAL NUMBER											(36)
											Page 7 of 10 Pages
ITEM #	CUBIC FEET*	CA. STATE ARCHIVES USE ONLY	TITLE AND DESCRIPTION OF RECORDS <i>(Double spaces between items)</i>	Media	Vital	RETENTION				PRA* (Exempt) & IPA	REMARKS
						Office	DEPT.	SRC	TOTAL		
(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)
28	4		Computer Generated Printouts A) Control Error Report (key data) B) Renewal Error Report C) Permanent License Counts	P		2 mos			2 mos		Destroyed through recycling. Destroyed through recycling. Destroyed through recycling.
29	0		Special Power of Attorney Listing	P		Active			active		Listing of authorized signatures for companies until superseded. This list is sent to the Corporate Affairs Bureau in San Francisco, CA.
30	10.5		Testing Function A) Testing Questions B) Answer Keys C) Test Booklets	P M		Act+3			Act+3		PRS 625, IPA 1798.4. Shred after 3 years inactive. PRS 625, IPA 1798.4. Shred after 3 years inactive.
31	1		Testing Function D) Validation Forms	P M		10			10		PRS 6254. Retained for reference.
32	1		Testing Function E) Examination Procedures Steps F) Conversion Chart G) Test Related Reference Materials H) Instructions to Examinees	P M		Active			Active		PRS 6254. Kept until superseded. Then shredded. PRS 6254. Kept until superseded. Then shredded. PRS 6254. Kept until superseded. Then shredded. PRS 6254. Kept until superseded. Then shredded.
33	.5		Testing Function I) Records of Obsolete Questions	P M		3			3		PRS 6254. Kept until replaced by computer format, then shredded.

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RECORDS RETENTION SCHEDULE

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ITEM #	CUBIC FEET*	CA. STATE ARCHIVES USE ONLY	TITLE AND DESCRIPTION OF RECORDS <i>(Double spaces between items)</i>	Media	Vital	RETENTION				PRA (Exempt) & IPA	REMARKS
						Office	DEPT.	SRC	TOTAL		
(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)
34	.5		Testing Function J) Checklist for examination books.	P M		1	2		3		PRS 6254. Attached to examination rosters.
35	.5		Testing Function K) Review and Analysis of Legislation 1. Statement of Position Papers	P M P			Act+2		Act+2		PRS 6254. Destroy by recycle 2 years from bill date.
36	6		Prelicensing Provider Certificate Applications	P		3	3		6		PRS 6254, IPA 1798.4
37	10		Prelicensing Course Approval Applicants	P		3	3		6		PRS 6354, IPA 1798.4
38	37		Continuing Education Provider Certificate Application	P		3	3		6		PRS 6354, IPA 1798.4
39	105		Continuing Education Course Approval Applications	P		3	3		6		PRS 6354, IPA 1798.4
40	136		Supporting Documents for Prelicensing and Continuing Education Course Applications	M P		2	1		3		Records include paper, computer diskette, video tapes, and cassettes tapes. Some of them will be returned to Providers if requested and postage paid; others will be kept in resource library for three years.
41	2		Pending Prelicensing Provider and Course Applications not completed within one year	P		1			1		PRS 6254, IPA 1798.4 Kept in office for one year from the date of receipt. Destroy by witnessed recycle.
42	2		Class Presentation Schedules	P M		1	2		3		Destroy by witnessed recycle after three years.
43	2		Provider Roster	P M		2	1		3		Destroy by witnessed recycle.
44	1		Provider and Course Audit Checklist	P		Act+3			Act+3		PRA 6354, IPA 1798.4. Destroy by witnessed recycle three year inactive.

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RECORDS RETENTION SCHEDULE

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(35) CalRIM APPROVAL NUMBER											(36) Page 9 of 10 Pages
ITEM #	CUBIC FEET*	CA. STATE ARCHIVES USE ONLY	TITLE AND DESCRIPTION OF RECORDS <i>(Double spaces between items)</i>	Media	Vital	RETENTION				PRA (Exempt) & IPA	REMARKS
						Office	DEPT.	SRC	TOTAL		
(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)
45	1		Provider Approval Master Lists	M		2	3		3		Non-Confidential Destruction.
46	1		Course Approval Master Lists	M		2	3		3		Non-Confidential Destruction.
47	1		Provider/Course Applications Log-in-Lists	P M		1			1		
48	.5		Approved Public Prelicensing Providers/Course Lists	M		Act+1			Act+1		
49	.5		Approved Private Prelicensing Provider/Courses Lists	M		Act+1			Act+1		
50	.5		Approved Public Continuing Education Providers/Courses Lists	M		Act+1			Act+1		
51	.5		Approved Private Continuing Education Provider/Courses Lists	M		Act+1			Act+1		
52	1		STD Form 70, Records Inventory Worksheet Lists	P		Current			Current		Retain as current until next inventory, or when no longer needed for reference or analysis, whichever is later.
53	1		STD Form 73, Records Retention Schedule	P		Current			Current		Retain as current until revised. NOTE: Although revision is required every five years form date approved by DGS, record retention schedules that are not revised remain in effect but are considered non-current.
54	1		STD Form 71 Records Transfer List	P		Current			Current		Retain as current until all records have been either destroyed, retired permanently, transferred to the State Archives, or when no longer needed, whichever is later.

10-051

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											Page 10 of 10 Pages
ITEM # (37)	CUBIC FEET* (38)	CA. STATE ARCHIVES USE ONLY (39)	TITLE AND DESCRIPTION OF RECORDS (40) <i>(Double spaces between items)</i>	Media (41)	Vital (42)	RETENTION				-PRA- (Exempt) & IPA (47)	REMARKS (48)
						Office (43)	DEPT. (44)	SRC (45)	TOTAL (46)		
55	1		Authorization for Records Destruction (Computer Printout)	P		4			4		Retain for two years from date destruction is authorized. Then retain two more years or until audited, whichever occurs first (maximum of four years). NOTE: All documents for the Education Section are established as a result of SB 2642.
	Total CU FT. 6,207.5										

10-051

DEPARTMENT OF INSURANCE

ADMINISTRATION & LICENSING SERVICES BRANCH
PRODUCER LICENSING BUREAU
320 CAPITOL MALL
SACRAMENTO, CA 95814
(800) 967-9331 OR (916) 322-3555
www.insurance.ca.gov



MEMORANDUM

TO: Lauren SooHoo, Department Records Management Officer
Business Management Bureau

FROM: Charlene Ferguson, Chief
Producer Licensing Bureau

DATE: March 16, 2010

SUBJECT: Records Retention Schedule (STD 73)

Attached is the updated Records Retention Schedule for the Producer Licensing Bureau (PLB). Please note that the only changes to this Schedule is the cubic feet allotment for each item. You may contact me at (916) 492-3010 if you have any questions.

Attachment

00-051

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