

RECORDS RETENTION SCHEDULE

Submit three copies to: Department of General Services, California Records and Information Management, 707 Third St. 2<sup>nd</sup> 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 Business, Transportation and Housing Agency (BTH Agency)		(2) AGENCY BILLING CODE 72000		(3) PAGE 1 OF 3 PAGES	
(4) DIVISION/ BRANCH/ SECTION Office of the Secretary		(5) ADDRESS 980 9 <sup>th</sup> Street, Suite 2450, 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 <b>BTHA-01-1</b>	(10) SCHEDULE DATE <b>10-7-2010</b>	(11) NUMBER OF PAGES <b>3</b>	(12) CUBIC FEET (Total Schedule) <b>494</b>	
PREVIOUS SCHEDULE INFORMATION (If applicable)	(13) SCHEDULE NUMBER BTHA-01-1	(14) APPROVAL NUMBER 01-336	(15) APPROVAL DATE (S) 11-15-01	(16) PAGE NUMBER(S) REVISED – 1,2	
(17) MISSION/FUNCTIONAL STATEMENT: The Agency is headed by the Secretary, who is a member of the Governor's Cabinet. The Secretary has the power of general supervision over, and is directly responsible to the Governor for the operations of each department and unit within the Agency. The Programs within the Agency include: California Film Commission, Infrastructure and Economic Development Bank, California Tourism Commission, Small Business Loan Guarantee Program and the Office of Military Base Retention and Reuse. The departments include: California Highway Patrol, Motor Vehicles, Corporations, Financial Institutions, Housing and Community Development, California Housing Finance Agency, Real Estate, Office of Real Estate Appraisers, Transportation, Office of Traffic Safety, Managed Health Care and Office of the Patient Advocate. The Secretary reports to the Governor on legislation, budgetary and administrative programs to accomplish comprehensive long-range, coordinated planning and policy formulation in matters of public interest related to the Agency.					
<b>PART I – AGENCY STATEMENTS</b>					
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 Undersecretary	(20) PHONE NUMBER 916-327-3368	(21) DATE SIGNED 10-7-2010	
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 Associate Governmental Program Analyst	(24) NAME (Printed or Typed) Amanda Esquivias	(25) PHONE NUMBER 916-324-7514	(26) DATE SIGNED 10-7-2010	
<b>PART II – DEPARTMENT OF GENERAL SERVICES APPROVAL (Per Government Code Section 14755)</b>					
(27) SIGNATURE – CalRIM CONSULTANT 		(28) APPROVAL NUMBER <b>10-182</b>	(29) DATE SIGNED <b>10-25-2010</b>	(30) EXPIRATION DATE <b>10-25-2015</b>	
<b>PART III – ARCHIVAL SELECTION (Per Government Code Section 14755)</b>					
THE ATTACHED RECORDS RETENTION SCHEDULE:			FOR ARCHIVES' STAMP		
(31) <input type="checkbox"/> Contains no material subject to further review by the California State Archives					
(32) <input checked="" 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 		(34) DATE SIGNED <b>Nov. 1, 2010</b>			

CALIFORNIA  
STATE ARCHIVES

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)

			<u>BTH Agency Program Management</u>								
			<i>Legislation</i>								
1	20		Senate and Assembly bills 2-year sessions. Analysis and additional background info.	P,CD	Active + 2			2	6		Retain on site two years during session, plus two years on site and 2 years at SRC.
			<i>Legal</i>								
2	10		Rulemaking: BTH Agency	P,CD	Active			0	X		Rulemaking files are active indefinitely unless BTH Agency elects to transmit to the State Archives. GC § 11347.3(f).
3	10		Ethics Compliance: Form 700s, Ethics Orientation	P,CD	7				7		Will be retained in the office for a total of not less than 7 years per GC § 81009(e)
4	10		CA PRA Requests and Responses	P,CD	2			2	4		Send to SRC after purging. Confidential destruction per Manager's Decision
5	20		Litigation: BTH Agency Secretary as Party, BTH Agency Departments as Party	P,CD	Active + 2			2	4		Send to SRC after purging. Confidential destruction per Manager's Decision
			<i>Policy Programs and Initiatives</i>								
6	varies		Correspondence, studies, reports, meeting minutes/agendas for various special projects/initiatives.	P,CD	Active + 2			4	6		Records associated with special projects or initiatives at the direction of the Governor's Office or the Secretary. Retained on site for active - 2 years, 4 years at SRC, Confidential destruction per manager's decision.
			<i>Audits and Performance Improvement</i>								
7	10		Audits, investigations and reviews in the form of final reports and management letters, and supporting working papers.	P,CD	3			4	7		Records associated with internal audit and performance improvement functions. Retained onsite for 3 years from date of report issuance, 4 years at SRC. Confidential destruction per manager's decision.
			<i>Statutorily Mandated Programs/Functions</i>								
8	100		Small Business Loan Guarantee Program: financial records, contracts, correspondence, and loan documentation.	P,CD	Active + 2			4	6		Technology, Trade and Commerce Agency functions statutorily mandated to BTH Agency after TTCA closure 1/1/2004.
9	100		Office of Military and Aerospace Support/ Office of Military Base Retention and Reuse: Program records, correspondence, meeting minutes/agendas, reports, and studies.	P,CD	Active + 2			4	6		Send to SRC after purging. Confidential destruction per manager's decision
											Inactive program and administrative records on hold in offsite and basement storage.
10	20		International Trade and Investment Promotion: correspondence, meeting minutes/agendas, reports, and studies.	P,CD	Active + 2			4	6		Send to SRC after purging. Confidential destruction per Manager's Decision

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 (47)	REMARKS
						OFFICE	DEPT.	SRC	TOTAL		
(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)

<u>BTH Agency Administrative Management</u>											
11	60		General Agency Transmittal Document Processing: Governor's Office Action Requests (GOAR), Significant Issue Reports (SIR), Communication Action Requests (CAR), Issue Memos (IM)	P,CD		3		1	4		Send to SRC after purging. Confidential destruction per Manager's Decision
12	60		Correspondence initiated by individuals to Governor's Office & Departments: Constituent Communications (Goldenrods)	P,CD		Active +1		1	X		Send to SRC after purging. Confidential destruction per Manager's Decision
13	10		Administrative/Personnel Records	P,CD		Active		0	X		Active until employee leaves.
14	60		Agency Financial/Accounting Documents: Invoices, Contracts/Agreements, TECs, Purchase Requests, etc.	P,CD		2		2	4		Retain 2 years from end of fiscal year. Then destroy after audit or 4 years, whichever occurs first.
<u>Records Management</u>											
15	1		STD Form 70, Records Inventory Worksheet	P		Current			Current		Retain as current until next inventory, or when no longer needed for reference or analysis, whichever is later.
16	1		STD Form 73, Records Retention Schedule Approval Request and STD Form	P		Current			Current		Retain as current until revised.
17	1		STD Form 71, Records Transfer List	P		Current			Current		
18	1		Authorization for Records Destruction	P		4			4		Retain for 2 years from date destruction. Then retain 2 more years or until audited, whichever occurs first (max of 4 years)
TOTAL CUBIC FEET: 494											
<u>SUMMARY OF CHANGES</u>											
<u>Previous RRS Item # Change</u>											
BTHA-01-1 1 Renamed & Renumbered to 11											
BTHA-01-1 2 Renumbered to 12											
BTHA-01-1 3 Renumbered to 13											
BTHA-01-1 4 Renumbered to 14											
BTHA-01-1 5 Renumbered to 1											
BTHA-01-1 6 Renumbered to 15											
BTHA-01-1 7 Renumbered to 17											
BTHA-01-1 8 Renumbered to 16											
BTHA-01-1 9 Renumbered to 18											
No record series were eliminated. Due largely to the addition of Technology, Trade and Commerce Agency programs, several new record series were added under "BTH Agency Program Management."											

\* Provide total of office and departmental