

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 38551 | | (3) PAGE 1 OF 6 PAGES | |
| (4) DIVISION/ BRANCH/ SECTION Field Examination Division - LA, SF + SAC | | (5) ADDRESS 300 S. Spring St., LA; 45 Fremont St., SF; 300 Capitol Mall, SAC. | | | |
| 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 FED - 05 | (10) SCHEDULE DATE 2/1/2012 | (11) NUMBER OF PAGES 4 | (12) CUBIC FEET (Total Schedule) 627 |
| PREVIOUS SCHEDULE INFORMATION (If applicable) | | (13) SCHEDULE NUMBER FED - 04 | (14) APPROVAL NUMBER 07-022 | (15) APPROVAL DATE(S) 2/8/2007 | (16) PAGE NUMBER(S) REVISED none |
| (17) MISSION/FUNCTIONAL STATEMENT Under the authority of the California Insurance Code, Section 730, the Field Examination Division protects California policyholders by conducting comprehensive financial examinations of insurance companies and other insurance organizations to determine their financial solvency and capacity to meet policyholder obligations. | | | | | |
| 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>A Susan Brown</i> | | (19) TITLE Chief, Field Examination Division | | (20) PHONE NUMBER 415-538-4073 | (21) DATE SIGNED 2.9.12 |
| 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>Chen ZHA</i> | | (23) CLASSIFICATION Deps Records Mgmt Coord. | (24) NAME (Printed or Typed) Lauren Ferguson | (25) PHONE NUMBER 916 492 3331 | (26) DATE SIGNED 2.9.12 |
| PART II – DEPARTMENT OF GENERAL SERVICES APPROVAL (Per Government Code Section 14755) | | | | | |
| (27) SIGNATURE – CalRIM CONSULTANT <i>James C. Sanchez</i> | | (28) APPROVAL NUMBER 102-017 | | (29) DATE SIGNED 2/13/2012 | (30) EXPIRATION DATE 2/13/2017 |
| PART III – ARCHIVAL SELECTION (Per Government Code Section 14755) | | | | | |
| THE ATTACHED RECORDS RETENTION SCHEDULE: | | | | | |
| (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 <i>Gayle Bailey</i> | | | | (34) DATE SIGNED Feb. 16, 2012 | |



Key 31964

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| (35) CalRIM APPROVAL NUMBER | | | | | | | | | | (36) PAGE 2 OF 6 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 (47) | REMARKS |
| | | | | | | OFFICE | DEPT. | SRC | TOTAL | | |
| (37) | (38) | (39) | (40) | (41) | (42) | (43) | (44) | (45) | (46) | (47) | (48) |
| 1 | 8 | | ADMINISTRATIVE RECORDS: a) Budget/Procurement Files | P, cd | | 4 yrs. | | | 4 yrs. | | |
| 2 | 12 | | b) Correspondence | P | | 10 yrs. | | | 10 yrs. | X | b) Includes internal correspondence. (Gov. Code Section 6254) |
| 3 | 9 | | c) Personnel Files | P | | Active | | | Active | I, X | c) Active until employee leaves state service or transfers. (Gov. Code Sec. 6254, Civil Code Sec. 1798.24) |
| 4 | 3 | | d) Insurance Company Billing Records | P | | 4 yrs. | | | 4 yrs. | | d) Retain for 4 years or until audited. Originals filed with Administration & Licensing Branch. |
| | | | PROGRAM RECORDS | | | | | | | | |
| 5 | 260 | | Financial Examination Workpapers | P, O, cd | | 6 mos. | | 4.5 yrs | 5 yrs. | X | Financial examinations are usually conducted every 3-5 years. Some items will be permanently removed from SRC and destroyed in office when new exam commences. |

* Provide total of office and departmental

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| (35) CalRIM APPROVAL NUMBER | | | | | | | | | | (36) PAGE 3 OF 6 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) | | |
| 5.12-017 | | | | | | | | | | | |
| | | | PROGRAM RECORDS (CONTINUED) | | | | | | | | |
| 6 | 15 | | Insurance Company EDP Files | P, O, cd | | 6 mos. | | 4.5 yrs | 5 yrs. | X | |
| 7 | 52 | | Financial Examination Actuarial Workpapers | P, O, cd | | 3 yrs. | | 7 yrs. | 10 yrs. | X | |
| 8 | 95 | | Financial Examination Report | P, O, cd | | 4 yrs. indefinitely | | 6 yrs. | 10 yrs. indefinitely | | |
| 9 | 35 | | Insurance Company Correspondence and Examination Control Files | P, O, cd | | 5 yrs. | | 10 yrs. | 15 yrs. | X | Includes internal correspondence not intended for release to the general public. (Gov. Code Sec. 6254 & California Code Sec. 735.5) |
| 10 | 45 | | Life and Disability Policy Filings--Public | P | | 2 yrs. | | 10 yrs. | 12 yrs. | | Records up to and including 2006. |
| 11 | 55 | | Life and Disability Policy Filings--Confidential | P | | 2 yrs. | | 15 yrs. | 17 yrs. | X | Contains internal correspondence and other materials. (Gov. Code Sec. 6254). Records up to and including 2006. |
| 12 | 3 | | Worker's Compensation Insurance Rating Bureau (WCIRB) Actuarial Committee--meeting notes and materials | P | | 5 yrs. | | 10 yrs. | 15 yrs. | | Contains internal correspondence. (Gov. Code Section 6254) |
| 13 | 6 | | National Association of Insurance Commissioners--Various task force, working group meetings records | P | | 5 yrs. | | 10 yrs. | 15 yrs. | X | Contains internal correspondence not intended for release to the general public. (Gov. Code Sec. 6254) |

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| | | | | | | OFFICE (43) | DEPT. (44) | SRC (45) | TOTAL (46) | | | |
| 14 | 4 | | PROGRAM RECORDS (CONTINUED) Early Warning Team Files | P | | 5 yrs. | | 5 yrs. | 10 yrs. | X | Contains internal correspondence and confidential documents not intended for release to the general public. (Gov. Code Section 6254) | |

* Provide total of office and departmental

| ITEM # | CUBIC FEET * | CA. STATE ARCHIVES USE ONLY | TITLE AND DESCRIPTION OF RECORDS (Double spaces between items) | MEDIA | VITAL | RETENTION | | | | PRA (Exempt) & IPA | REMARKS |
|--------|--------------|-----------------------------|---|-------|-------|-----------|-------|------|-------|--------------------|---------|
| | | | | | | OFFICE | DEPT. | SRC | TOTAL | | |
| (37) | (38) | (39) | (40) | (41) | (42) | (43) | (44) | (45) | (46) | (47) | (48) |

| | | | | | | | | | | | |
|-----|---|--|---|---|--|---------|---|---|---------|--|---|
| | | | <u>Records Management</u> | | | | | | | | |
| 16. | | | 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. |
| 17. | | | 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. |
| 18. | 1 | | STD Form 73, Records Retention Schedule | P | | Current | | | Current | | Retain as current until revised. NOTE: Although revision is required every five years from date approved by CalRIM, records retention schedules that are not revised remain in effect but are considered non-current. |
| 19. | | | Authorization for Records Destruction (Computer Printouts) | | | 4 | | | 4 | | Retain for two years from date destruction is authorized. Then retain two additional years or until audited, whichever occurs first (maximum of four years). |
| | | | <u>Electronic Mail</u> | | | | | | | | |
| 20. | | | A. E-mail that are categorized as official records are subject to department records retention schedule and must be retained for the same period of time as the records series that most closely matches the subject matter contained within the new e-message. If there is no entry that resembles or matches the subject matter of the e-message, the "record" should be added to the schedule as a separate series (separate item number). | M | | * | * | * | * | | *E-mail communications that have "official records status" are subject to department records retention schedule and must be retained for the same period of time as the records series that most closely matches the subject matter of the e-communication in question. |
| | | | B. Transitory e-Mail consists of electronic messages that are created primarily for the communication of informal information as opposed to the perpetuation or formalization of knowledge. | M | | 90 days | | | 90 days | | Destroy transitory e-communications when they have served their purpose. |

DEPARTMENT OF INSURANCE

FIELD EXAMINATION DIVISION

300 CAPITOL MALL, 1300

SACRAMENTO, CA 95814

(916) 492-3474

(916) 322-1317 (FAX)

www.insurance.ca.gov



112-017

MEMORANDUM

TO: Lauren Soohoo, Business Management Bureau

FROM: Colleen Childers, Field Examination Division

DATE: February 8, 2012

RE: Revised Records Retention Schedule

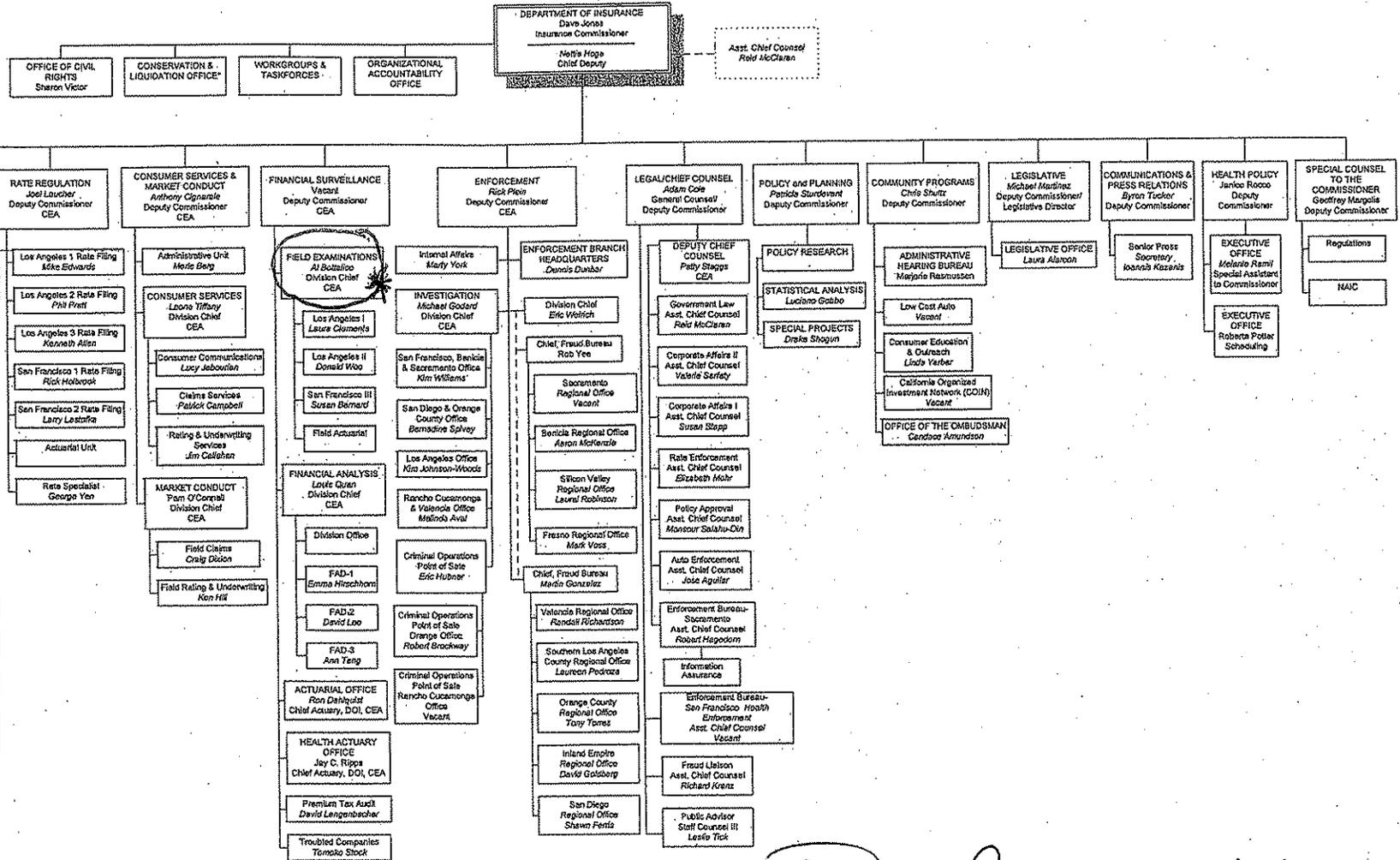
SUMMARY OF CHANGES

In accordance to the CDI Records Retention policies, FED has completed its five-year review and revision of the Records Retention Schedule. This is where revisions have occurred.

- Line 10: Records stored will be up to year 2006 only.
- Line 11: Records stored will be up to year 2006 only.

DEPARTMENT OF INSURANCE

October 2011



*Non Civil Service

Dave Jones
 DAVE JONES
 Insurance Commissioner

10/11/11
 DATE