

STD.73 (REV. 6/2002)
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 email at CalRIM@dgs.ca.gov

(1) DEPARTMENT, BOARD OR COMMISSION FRANCHISE TAX BOARD		(2) AGENCY BILLING CODE 029000	(3) PAGE 1 OF 4 PAGES	
(4) DIVISION/ BRANCH/ SECTION FILING DIVISION/FILING COMPLIANCE BUREAU		(5) ADDRESS 9646 BUTTERFIELD WAY, SACRAMENTO, CA 95827		
CHECK THE APPROPRIATE BOX				
(6) <input checked="" type="checkbox"/> New schedule of records that have never been scheduled. [Complete boxes (9) – (12)]				
(7) <input 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 765	(10) SCHEDULE DATE JULY 18 2014	(11) NUMBER OF PAGES 3	(12) CUBIC FEET (Total Schedule) 177.00
PREVIOUS SCHEDULE INFORMATION (If applicable)	(13) SCHEDULE NUMBER	(14) APPROVAL NUMBER	(15) APPROVAL DATE (S)	(16) PAGE NUMBER(S) REVISED
(17) MISSION/FUNCTIONAL STATEMENT: As part of the Filing Division, the mission of the Filing Compliance Bureau is to be leaders in the tax industry in detecting and reducing tax avoidance. We achieve this by promoting self compliance through discovery, detection, enforcement, education and collaboration. We provide quality services and innovative tools to taxpayers and stakeholders. We promote a customer service oriented culture where employees are valued and empowered.				
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>Sherrill Gray</i>		(19) TITLE Filing Compliance Bureau Director	(20) PHONE NUMBER 916-845-5631	(21) DATE SIGNED Aug 18, 2014
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>Myisha Robertson</i>	(23) CLASSIFICATION A.G.P.A.	(24) NAME (Printed or Typed) MYISHA ROBERTSON	(25) PHONE NUMBER 916.845.4197	(26) DATE SIGNED August 18, 2014
PART II – DEPARTMENT OF GENERAL SERVICES APPROVAL (Per Government Code Section 14755)				
(27) SIGNATURE – CalRIM CONSULTANT <i>Juanita C. Sanchez</i>		(28) APPROVAL NUMBER 2014 365	(29) DATE SIGNED 10/29/2014	(30) EXPIRATION DATE 10/29/2019
PART III – ARCHIVAL SELECTION (Per Government Code Section 14755)				
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 Nov. 3, 2014		

Key # 36425

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)

PUC 765 Filing Enforcement

1	8		Managers working files/ active employee records	P		Active +2			Active +2		Confidential destruct
2	8		PUC 765 Filing Enforcement BE Closed Protest Files/Active workload files	P		Active +1			Active +1		Confidential destruct
3	14		PUC 765 Filing Enforcement K1/1067 Files/Active workload files	P		Active +3			Active +3		Confidential destruct
4	2		PUC 765 Filing Enforcement Protest Files/Active workload files	P		Active +4			Active +4		Confidential destruct
5	8		PUC 765 Filing Enforcement W-4 Files/Active workload files	P		Active +1			Active +1		Confidential destruct
6	1		PUC 765 Filing Enforcement Process Non-Filer Case Files/Active workload files	P		Active +1			Active +1		Confidential destruct
7	12		PUC 765 Filing Enforcement Completed work list/ Active workload files	P		Active +1			Active +1		Confidential destruct
8	1		PUC 765 Filing Enforcement Federal Tax Info Tracking Log/ Active workload files	P		Active +1			Active +1		Confidential destruct

PUC 767 Withholding Services & Compliance Section

9	8		Managers working files/ active employee records	P		Active +2			Active +2		Confidential destruct
10	8		PUC 767 Withholding Services and Compliance Section NITS Workload Files/ Active workload files	P		Active +3	4		Active +7		Confidential destruct
11	18		PUC 767 Withholding Services and Compliance Section 588 Forms/ Active workload files	P		Active +2					Confidential destruct
12	10		PUC 767 Withholding Services and Compliance Section Audit Case Files/ Active workload files	P		Active +3	4		Active +7		Confidential destruct
13	2		PUC 767 Withholding Services and Compliance Section Discovery Team Files/ Active workload files	P		Active +2			Active +2		Confidential destruct
14	4		PUC 767 Withholding Services and Compliance Section Education & Outreach Team Files/ Active workload files	P		Active			Active		No retention period

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(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)

PUC 768 Fraud and Discovery Section											
15	8		Managers working files/ active employee records	P		Active +2			Active +2		Confidential destruct
16	36		PUC 768 Fraud and Discovery Section	P		Active	7		Active +7		Confidential destruct
			Discovery Audit Files/ Active workload files								
17	4		PUC 768 Fraud and Discovery Section	P		Active +10			Active +10		Confidential destruct
			Discovery Analyst Files / Active workload files								
18	8		PUC 768 Fraud and Discovery Section	P		Active	4		Active +10		Confidential destruct
			Fraud-W2 Files/ Active workload files								
19	12		PUC 768 Fraud and Discovery Section	P		Active	4		Active +10		Confidential destruct
			Fraud – CDC Files/ Active workload files								
20	1		PUC 768 Fraud and Discovery Section	P		Active +2	4		Active +6		Confidential destruct
			Fraud- Identity Theft/ Active workload files								
21	4		PUC 768 Fraud and Discovery Section	P		Active +1			Active +1		Confidential destruct
			CTEC Work Files/ Active workload files								

* Provide total of office and departmental

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22	1		<u>Records Management</u>								
			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.
23			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.
24			Electronic Mail								
			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).	P		90 days			90 days		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							Destroy transitory e-communications when they have served their purpose. Destroy transitory e-communications when they have served their purpose.
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