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 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	(2) AGENCY BILLING CODE	(3)
Consumer Affairs	58002	PAGE 1 OF 2 PAGES

(4) DIVISION/ BRANCH/ SECTION	(5) ADDRESS
Internal Audit Office (IAO)	1625 N. Market blvd. Suite N-324 Sacramento, CA 95834

CHECK THE APPROPRIATE BOX

(6) ☐ New schedule of records that have never been scheduled. [Complete boxes (9) – (12)]

(7) ☒ Revising a previous schedule. [Complete boxes (13) –(16)] (A new approval number will be assigned.)

(8) ☐ 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 AD-11	(10) SCHEDULE DATE 3/26/15	(11) NUMBER OF PAGES 2	(12) CUBIC FEET (*Total Schedule*) 100
PREVIOUS SCHEDULE INFORMATION (*If applicable*)	(13) SCHEDULE NUMBER AD-10	(14) APPROVAL NUMBER 2010-015	(15) APPROVAL DATE (S) 1/27/2010	(16) PAGE NUMBER(S) REVISED 3

(17) MISSION/FUNCTIONAL STATEMENT: The mission of the Internal Audit Office is to help management accomplish its objectives by bringing a systematic independent approach to governance, control and risk assessment.

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	(19) TITLE	(20) PHONE NUMBER	(21) DATE SIGNED
[signature]	Audit Chief	916-574-8190	3/26/15

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	(24) NAME (*Printed or Typed*)	(25) PHONE NUMBER	(26) DATE SIGNED
[signature]	DCA RMC	MacAguilar	916-574-7260	3/26/15

PART II – DEPARTMENT OF GENERAL SERVICES APPROVAL (*Per Government Code Section 14755*)

(27) SIGNATURE –CalRIM CONSULTANT	(28) APPROVAL NUMBER	(29) DATE SIGNED	(30) EXPIRATION DATE
[signature]	2015-052	4/10/2015	4/10/2020

PART III – ARCHIVAL SELECTION (*Per Government Code Section 14755*)

THE ATTACHED RECORDS RETENTION SCHEDULE:

Key # 37262

(31) ☒ Contains no material subject to further review by the California State Archives

(32) ☐ 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
Sydney Barbey, Archivist	4/13/15

FOR ARCHIVES STAMP

CALIFORNIA STATE ARCHIVES

(35) CLAIM APPROVAL NUMBER

2015-052

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 OFFICE (43)	RETENTION DEPT. (44)	RETENTION SRC (45)	RETENTION TOTAL (46)	PRA (Exempt) & IPA (47)	REMARKS (48)
1.	30		Audit Workpapers, Reports	P		2	5		7		
2.	15		Correspondence	P		Active			Active		Active – until Board/Bureau/Commission/Committee is audited
3.	30		Permanent Files (audit reference)	P		Active			Active		Updated on continuous basis
4.	15		General Correspondence (including training, budget information, supervisory personnel files, etc.)	P		2	2		4		Personnel files are exempt from disclosure to the public but available to the employee concerned.
5.	5		Chronological Files	P		5			5		
6.	5		Special projects and reports including internal control evaluation required by law and investigative projects.	P		2	5		7		
7.		.1	Records Retention Schedules (Std. 73)	P		Current			Current		Retain as current until superseded. Although revision is required every 5 years from the date approved by DGS, RRS that are not revised remain in effect but are considered non-current.
8.		.1	Std. 70 – Records Inventory Worksheet	P		Current			Current		Retain as current until NEXT INVENTORY OR WHEN NO LONGER NEEDED FOR REFERENCE OR ANALYSES, WHICHEVER IS LATER

* Provide total of office and departmental