STATE OF CALIFORNIA – SECRETARY OF STATE
RECORDS RETENTION SCHEDULE
STD. 73 (REV. 2/2015)

STATE RECORDS PROGRAM

(1) DEPARTMENT*	(2) AGENCY BILLING CODE	IMS Code	(3)
INSURANCE	38545		PAGE 1 OF 10 PAGES

(4) DIVISION/ BRANCH/ SECTION	(5) ADDRESS
Licensing Services Division/ALSB/Producer Licensing Bureau	320 Capitol Mall, Sacramento, CA 95814

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 (9)–(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.)

	(9) SCHEDULE NUMBER	(10) SCHEDULE DATE	(11) NUMBER OF PAGES	(12) CUBIC FEET (Total Schedule)
NEW SCHEDULE INFORMATION (If applicable)	LIC 11	9/25/2015	10	4,598
PREVIOUS SCHEDULE INFORMATION (If applicable)	(13) SCHEDULE NUMBER	(14) APPROVAL NUMBER	(15) APPROVAL DATE(S)	(16) PAGE NUMBER(S) REVISED
	LIC 10	10-051	3/30/2015	10

(17) FUNCTIONAL STATEMENT
The Producer Licensing Bureau (PLB) 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 prelicensing 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	(19) TITLE	(20) PHONE NUMBER	(21) DATE SIGNED
Charlene L Ferguson	Chief, Producer Licensing Bureau	(916) 492-3010	7-2-2015

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]	Deptp Record Mgmt Coord	Lauren Fong Soottoo	9164923331	9.22.15

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
Janis C. Sandy	2015-235	10/5/2015	10/5/2020

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

THE ATTACHED RECORDS RETENTION SCHEDULE:

Key 37986

(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 Bailey, Archivist	Oct. 7, 2015

FOR ARCHIVES' STAMP

CALIFORNIA STATE ARCHIVES

(35) APPROVAL NUMBER 2015-235

ITEM # (37)	CUBIC FEET* (38)	CA. STATE ARCHIVES USE ONLY (39)	TITLE AND DESCRIPTION OF RECORDS (40)	MEDIA (41)	VITAL (42)	RETENTION OFFICE (43)	RETENTION DEPT. (44)	RETENTION SRC (45)	RETENTION TOTAL (46)	PRA & IPA (47)	REMARKS (48)
1	3,816		License Permanent Files: A) Accident and Health Agent B) Administrator C) Cargo Shippers' Agent D) Communications Equipment Insurance Agent (applications prior to 2011) E) Credit Insurance Agent F) Fire and Casualty Broker-Agent (applications prior to 2011) G) Life agent (applications prior to 2006) H) Life-Only Agent I) Life Settlement Broker J) Limited Lines Automobile Agent K) Motor Club L) Part-Time Fraternal Agent M) Personal Lines Broker-Agent N) Property and Casualty Broker-Agent O) Portable Electronics P) Reinsurance Intermediary-Broker/Intermediary-Manager	P, E			Active + 5 yrs		Active + 5 yrs	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*

(35) APPROVAL NUMBER 2015-235

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ITEM # (37)	CUBIC FEET* (38)	CA. STATE ARCHIVES USE ONLY (39)	TITLE AND DESCRIPTION OF RECORDS (40)	MEDIA (41)	VITAL (42)	RETENTION OFFICE (43)	RETENTION DEPT. (44)	RETENTION SRC (45)	RETENTION TOTAL (46)	PRA & IPA (47)	REMARKS (48)
1	3,816		License Permanent Files: (Continued) Q) Rental Car Agent Licensing R) Self-Service Storage Agent S) Sur+ Line Broker T) Special Lines' Sur+ Line Broker U) Stock Agent V) Title Marketing Representative W) Travel Agent X) Vehicle Service ContrActive Provider Y) Viatical Settlement License	P, E			Active + 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, E			Active + 5 yrs		Active + 5 yrs	XI	Retention Authority "Manager Decision" 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.
2b	233		Z) Bail Agent, Bail Solicitor, Bail Permittee	P			Active + 5 yrs		Active + 5 yrs		
2c	101		AA) Independent Insurance Adjuster	P			6 yrs		6 yrs		
2d			BB) Public Insurance Adjuster	P			6 yrs		6 yrs		
2e			CC) Interim Public Insurance Adjuster	P			6 yrs		6 yrs		

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3	50		Pending Applications	P, E		1 yr			1 yr	XI	PRS 6254, IPA 1798.4. Kept as pending in office for one year from date of application.
4	18		Expired Applications	P, E		1	2 yrs		3 yrs	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	10		Renewal Applications	P		1 yr	2 yrs		3 yrs	XI	Confidential Destruction.
6	31		Microfiche History Film	M, E		Perm			Perm	XI	PRA 6254, IPA 1798.4 Historical Records
7	8.5		Active Notice Appointments/Terminations	P		1 yr	2 yrs		3yrs	XI	PRA 6254, IPA 1798.4 Confidential Destruction.
8	3.5		Organization Endorsements Endorsements/Terminations	P		1 yr	2 yrs		3 yrs		Confidential Destruction.
9	1		Certification of License Status Request	P			3 yrs		3 yrs		Destroyed through recycling.
10	10		Correspondence A) Cashiered Items Printout Requests Duplication License Requests Overpayments (refund requests) Legal Certification Requests	P			3 yrs		3 yrs		Destroyed through recycling.

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(35) APPROVAL NUMBER 2015-235

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ITEM # (37)	CUBIC FEET* (38)	CA. STATE ARCHIVES USE ONLY (39)	TITLE AND DESCRIPTION OF RECORDS (40)	MEDIA (41)	VITAL (42)	*RETENTION OFFICE (43)	DEPT. (44)	SRC (45)	TOTAL (46)	PRA & IPA (47)	REMARKS (48)
11	3		Correspondence B) Non-cashiered items	P, E		1 yr			1 yr		Destroyed through recycling.
12	2		NAIC Lists of Persons from other states who have had their license suspended or revoked in other states.	E		5 yrs			5 yrs		PRS 6354, IPA 1798.4
13	16.5		Work Control Logs A) Examination Rosters B) Active Notice/Organization Endorsements C) To Investigations	P		1 yr	2 yrs		3 yrs		Destroyed through recycling.
14	.5		Work Control Logs Renewals	P		1 yr			1 yr		Destroyed through recycling.
15	1		Incoming Mail Desk Log A) Certified Mail B) Postage Due (P.O.) C) Incoming Work	P		Active + 1 yr			Active + 1 yr		
16	1		License Number Assignment Control Bank	P		Active			Active		
17	1		Fingerprint Waiver Forms	P		Active + 5 yrs			Active + 5 yrs		Attached to and destroyed with application.
18	1		Work Status Sheets (Processing Sups)	E		2 yrs			2 yrs		Destroyed through recycling.
19	1		Processing Supervisor Work Assignment Sheets	E		2 yrs			2 yrs		Destroyed through recycling.

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ITEM #	CUBIC FEET*	CA. STATE ARCHIVES USE ONLY	TITLE AND DESCRIPTION OF RECORDS	MEDIA	VITAL	RETENTION OFFICE	RETENTION DEPT.	RETENTION SRC	RETENTION TOTAL	RETENTION PRA & IPA	REMARKS
(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)
20	.5		Renewal License Pull List	P		1 wk			1 wk		Destroy when search is complete. Non-confidential.
21	1		Producer Licensing Bureau Request for Supplies and forms	P		1 yrs			1 yrs		Destroyed through recycling.
22	1		Office of the Chief, Producer Licensing Bureau A) General Correspondence 1. To concerns outside of licensing. From concerns outside of licensing.	E			2 yrs		2 yrs		Office working files.
23	3		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	P		 5 yrs 5 yrs 5 yrs 5 yrs 5 yrs			 5 yrs 5 yrs 5 yrs 5 yrs 5 yrs		Office working files.
23a			G) Bulletins & Rules			Active + 5 yrs			Active + 5 yrs		
24	1		Manager – Producer Licensing Statistical Reports A) Report of Active producers by the number of Active licenses (by entity) B) Cashier Reports	P, E		 3 yrs 3 yrs			 3 yrs 3 yrs		

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(35) APPROVAL NUMBER 2015-235

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ITEM #	CUBIC FEET*	CA. STATE ARCHIVES USE ONLY	TITLE AND DESCRIPTION OF RECORDS	MEDIA	VITAL	RETENTION OFFICE	RETENTION DEPT.	RETENTION SRC	RETENTION TOTAL	RETENTION PRA & IPA	REMARKS
(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)
25	2		Computer Generated Printouts A) Renewal Error Report B) Permanent License Counts	P		2 mos 2 mos			2 mos 2 mos		Destroyed through recycling. Destroyed through recycling.
26	5.5		Testing Function A) Testing Questions B) Answer Keys C) Test Booklets	P, E		Active + 3 yrs Active + 3 yrs Active + 3 yrs			Active + 3 yrs Active + 3 yrs Active + 3 yrs		PRS 625, IPA 1798.4. Shred after 3 years inactive. PRS 625, IPA 1798.4. Shred after 3 years inactive. PRS 6254. Books are used at CDI's test centers in Sacramento, San Francisco, and Los Angeles when the online computer system is not available. When books are superseded, the books are destroyed by confidential destruction at SRC. (Note: All other exam locations use online examinations).
27	.5		Testing Function D) Workshop Forms	P, E		10 mos			10 mos		PRS 6254. Retained for reference.
28	6		Testing Function E) Examination Procedures Steps F) Conversion Chart G) Test Related Reference Materials	P, E		Active Active Active			Active Active Active		PRS 6254. Kept until superseded. Then shredded. PRS 6254. Kept until superseded. Then shredded. PRS 6254. Kept until superseded. Then shredded.

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ITEM # (37)	CUBIC FEET* (38)	CA. STATE ARCHIVES USE ONLY (39)	TITLE AND DESCRIPTION OF RECORDS (40)	MEDIA (41)	VITAL (42)	RETENTION OFFICE (43)	DEPT. (44)	SRC (45)	TOTAL (46)	PRA & IPA (47)	REMARKS (48)
			H) Instructions to Examinees			Active			Active		PRS 6254. Kept until superseded. Then shredded.
29	.5		Testing Function A) Records of Obsolete Questions	E		3 yrs			3 yrs		PRS 6254. Kept until replaced by computer format, then shredded.
30	.5		Testing Function B) Checklist for examination books.	P		1 yr	2 yrs		3 yrs		PRS 6254. Attached to examination rosters.
31	1		Testing Function C) Review and Analysis of Legislation Statement of Position Papers	E		Active + 2 yrs			Active + 2 yrs		PRS 6254. Destroy by recycle 2 years from bill date.
32	6		Prelicensing Provider Certificate Applications	P		Active + 3 yrs	3 yrs		Active + 6 yrs		PRS 6254, IPA 1798.4
33	6.5		Prelicensing Course Approval Applicants	P, E		Active + 3 yrs	3 yrs		Active + 6 yrs		PRS 6354, IPA 1798.4
34	57		Continuing Education Provider Certificate Application	P		Active + 3 yrs	3 yrs		Active + 6 yrs		PRS 6354, IPA 1798.4
35	78		Continuing Education Course Approval Applications	P, E		Active + 3 yrs	3 yrs		Active + 6 yrs		PRS 6354, IPA 1798.4
36	101		Supporting Documents for Prelicensing and Continuing Education Course Applications	P, E		Active + 2 yrs	1 yr		Active + 3 yrs		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.
37	2		Pending Prelicensing Provider and Course Applications not completed within one year	P		1 yr			1 yr		PRS 6254, IPA 1798.4 Kept in office for one year from the date of receipt. Destroy by witnessed recycle.

*** Provide total of office and departmental**

STATE OF CALIFORNIA – SECRETARY OF STATE
RECORDS RETENTION SCHEDULE
STD. 73 (REV. 2/2015)

(35) APPROVAL NUMBER 2015-235

ITEM # (37)	CUBIC FEET* (38)	CA. STATE ARCHIVES USE ONLY (39)	TITLE AND DESCRIPTION OF RECORDS (40)	MEDIA (41)	VITAL (42)	RETENTION OFFICE (43)	RETENTION DEPT. (44)	RETENTION SRC (45)	RETENTION TOTAL (46)	PRA & IPA (47)	REMARKS (48)
38	.5		Class Presentation Schedules	P, E		1 yr	2 yrs		3 yrs		Destroy by witnessed recycle after three years.
39	2		Provider Roster	P, E		2 yrs	1 yrs		3 yrs		Destroy by witnessed recycle.
40	.5		Provider and Course Audit Checklist	P		Active + 3			Active + 3 yrs		PRA 6354, IPA 1798.4. Destroy by witnessed recycle three year inactive.
41	6		Provider and Course Audit Working Papers	P, E		Active + 3			Active + 3 yrs		PRA 6354, IPA 1798.4. Destroy by witnessed recycle three year inactive.
42	1		Provider Approval Master Lists	E		2 yrs	3 yrs		5 yrs		Non-Confidential Destruction.
43	1		Course Approval Master Lists	E		2 yrs	3 yrs		5 yrs		Non-Confidential Destruction.
44	.5		Provider/Course Applications Log-in-Lists	P, E		1 yr			1 yr		
45	.5		Approved Public Prelicensing Providers/Course Lists	E		Active + 1 yr			Active + 1 yr		
46	.5		Approved Private Prelicensing Provider/Courses Lists	E		Active + 1 yr			Active + 1 yr		
47	.5		Approved Public Continuing Education Providers/Courses Lists	E		Active + 1 yr			Active + 1 yr		
48	.5		Approved Private Continuing Education Provider/Courses Lists	E		Active + 1 yr			Active + 1 yr		
49	.5		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.

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(35) APPROVAL NUMBER 2015-235

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ITEM #	CUBIC FEET*	CA. STATE ARCHIVES USE ONLY	TITLE AND DESCRIPTION OF RECORDS	MEDIA	VITAL	RETENTION OFFICE	RETENTION DEPT.	RETENTION SRC	RETENTION TOTAL	PRA & IPA	REMARKS
(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)
50	.5		STD Form 72, Records Schedule Approval Request & 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.
51	.5		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.
52	1		Authorization for Records Destruction (Computer Printout)	P		4 yrs			4 yrs		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 (Chapter 1420, Statutes of 1990).

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STATE OF CALIFORNIA
DEPARTMENT OF INSURANCE
ADMINISTRATION & LICENSING SERVICES BRANCH
PRODUCER LICENSING BUREAU
320 CAPITOL MALL
SACRAMENTO, CA 95814
(800) 967-9331 OR (916) 322-3555
(916) 327-6907 (FAX)
www.insurance.ca.gov

Dave Jones, *Insurance Commissioner*

2015-235

MEMORANDUM

TO: Lauren SooHoo, Department Records Management Officer

FROM: Charlene Ferguson, Chief
Producer Licensing Bureau CF

DATE: July 2, 2015

SUBJECT: Records Retention Schedule (STD 73)

Attached is the updated 2015 Records Retention Schedule for the Producer Licensing Bureau (PLB). Please note the following edits that are shown in track changes on the attached Schedule:

- Several items show a reduction in the cubic square feet allotment. Specifically, the cubic square feet reported on the attached 2015 report is 1,609.5 less than the 6,207.5 that was reported in 2010. That is a 26 percent reduction in space (e.g., 4,598 minus 6,207.5, divided by 6,207.5) used for licensing files. The reduced number of cubic square fee is due to the Producer Licensing Bureau's online applications, renewals, and address changes that were launched in the last five years.
- Two new license types (i.e., property/casualty broker-agent and portable electronics agent) were added to the "License Permanent Files" listed on page 2. The item numbers following this item were revised accordingly.
- DEPT. in column (44) refers to the California Department of Insurance's Warehouse which is located at 2779 Del Monte Street, West Sacramento, California.
- Four records are removed on the attached 2015 Record Retention Schedule (pages 5-former items 12, 19, 20 and page 7-former item 28 A) as these records met their schedule retention time and were destroyed through recycling. PLB no longer requires these items. In addition, one item was added on page 9-new item 41. Also, the item numbers following these items were revised accordingly.
- "Yr" and "Yrs" are added to several of the numbers listed in the "Retention" columns on pages 4 through 10 to provide clarification that the number listed represents the number of years the item will be retain.

If you have any questions, please give me a call at (916) 492-3010. Thank you!

Attachment

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