

(1) DEPARTMENT* Contractors State License Board / Department of Consumer Affairs		(2) AGENCY BILLING CODE 57436	IMS CODE	(3) PAGE <u>1</u> OF <u>19</u> PAGES
(4) DIVISION / BRANCH / SECTION Contractors State License Board		(5) ADDRESS 9821 Business Park Drive, Sacramento, CA 95827		

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.)

NEW SCHEDULE INFORMATION (If applicable)	(9) SCHEDULE NUMBER CSLB-2019	(10) SCHEDULE DATE Jul 24, 2019	(11) NUMBER OF PAGES 20	(12) CUBIC FEET (Total Schedule) 14,770
PREVIOUS SCHEDULE INFORMATION (If applicable)	(13) SCHEDULE NUMBER CSLB-8-2014	(14) APPROVAL NUMBER 2014-318	(15) APPROVAL DATE(S) 8/27/14	(16) PAGE NUMBER(S) REVISED 20

(17) FUNCTIONAL STATEMENT

The Contractors State License Board protects consumers by regulating the construction industry through policies that promote the health, safety, and general welfare of the public in matters relating to construction.

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 48, Remarks.

(18) SIGNATURE - MANAGER RESPONSIBLE FOR THE RECORDS 	(19) TITLE Manager	NAME - (Printed or Typed) Alex Christian	(20) PHONE NUMBER [REDACTED]	(21) DATE SIGNED Jul 24, 2019
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In accordance with Government Code 12274, approval of this Records Retention Schedule by the Secretary of State 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 MANAGEMENT ANALYST 	(23) CLASSIFICATION AGPA DCA-RMC	(24) NAME - (Printed or Typed) Mac Aguilar	(25) PHONE NUMBER [REDACTED]	(26) DATE SIGNED Jul 24, 2019
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PART II A – SECRETARY OF STATE APPROVAL (Per Government Code Section 12272)

(27) SIGNATURE - CalRIM CONSULTANT 	NAME - (Printed or Typed) Dennis Supachama	(28) APPROVAL NUMBER 2019-175	(29) APPROVAL DATE 08/14/2019	(30) EXPIRATION DATE 08/14/2024
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PART II B – ARCHIVAL SELECTION (Per Government Code Section 12223)

THE ATTACHED RECORDS RETENTION SCHEDULE:

- (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 	NAME - (Printed or Typed) JEFF CRAWFORD	(34) DATE SIGNED 8/19/2019	FOR ARCHIVES' STAMP 
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*Department refers to any Agency, Department, Board, Commission, Office or Other

RECORDS RETENTION SCHEDULE

STD. 73 (REV. 2/2015)

(35) APPROVAL NUMBER											(36)
											Page 2 of 24 Pages
ITEM #	CUBIC FEET*	CA. STATE ARCHIVES USE ONLY	TITLE AND DESCRIPTION OF RECORDS (Double spaces between items)	MEDIA	VITAL	RETENTION				PRA & IPA	REMARKS
(37)	(38)	(39)	(40)	(41)	(42)	OFFICE	DEPT.	SRC	TOTAL	(47)	(48)
			Executive Management Records								
1	33	NOTIFY ARCHIVES	Legislative Files:	P/E		10 years			10 years		Retain in office for 10 years from current calendar year, Do Not Destroy. Notify DCA Records Coordinator for transfer to the Secretary of State, State Archives. * Items A-F
			a) Proposed Legislation								
			b) Bills that affect CSLB and their analysis								
			c) Correspondence								
			d) Position Papers								
			e) Sunset Review								
2	17	NOTIFY ARCHIVES	f) Classification and Regulation Task Force	P		20 years			20 years		Retain in office for 20 years from current calendar year, Do Not Destroy. Notify DCA Records Coordinator for transfer to the Secretary of State, State Archives.
			g) Rule Making Files								
3	19	NOTIFY ARCHIVES	Management Studies and Reports-these are reports that have been written about CSLB by CSLB staff such as:	P		20 years			20 years		Retain in office for 20 years from current calendar year, Do Not Destroy. Notify DCA Records Coordinator for transfer to the Secretary of State, State Archives. * Items A-D
			a) Sunset Review								
			b) Strategic Plan								
			Or outside sources such as:								
			a) Price Waterhouse								
			b) KPMG Consulting								
			c) DCA								
			d) Department of Finance								
4	21	NOTIFY ARCHIVES	Board Meeting Minutes (original transcript of Board meetings and agenda)	P/E		Active			Active		Active is retain as historical data per CSLB policy.

RECORDS RETENTION SCHEDULE

STD. 73 (REV. 2/2015)

(35) APPROVAL NUMBER											(36)
											Page 3 of 24 Pages
ITEM #	CUBIC FEET*	CA. STATE ARCHIVES USE ONLY	TITLE AND DESCRIPTION OF RECORDS (Double spaces between items)	MEDIA	VITAL	RETENTION				PRA & IPA	REMARKS
						OFFICE	DEPT.	SRC	TOTAL		
(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)
5	1		Cassette tapes of Board Meetings (used to transcribe Board	M		Active			Active		Active is until transcribed, then destroy.
6	39	NOTIFY ARCHIVES	Board Meeting Files (backup material for Board minutes, includes copies of agenda and handout packets)	P		15 years			15 years		Retain in office for 15 years from current calendar year, Do Not Destroy. Notify DCA Records Coordinator for transfer to the Secretary of State, State Archives.
7	2.9		Board Members Files (personnel, travel, attendance, photos, etc.)	P		Active +5			Active +5		Active is until end of Board Member's appointment, retain 5 years, then destroy.
8	5	NOTIFY ARCHIVES	Legal Opinions (Attorney General and DCA Legal staff opinions affecting CSLB)	P		20 years			20 years		Retain in office for 20 years from current calendar year, Do Not Destroy. Notify DCA Records Coordinator for transfer to the Secretary of State, State Archives.
9	17.6		Controlled Correspondence (correspondence addressed to the Registrar and routed to divisions for response)	P		15 years			15 years		Retain in office for 15 years from current calendar year, Do Not Destroy. Notify DCA Records Coordinator for transfer to the Secretary of State, State Archives.
Executive Management Records, Continued											
10	9	NOTIFY ARCHIVES	Correspondence File (also known as Subject File used by Administrative and Executive Staff)	P		15 years			15 years		Retain in office for 15 years from current calendar year, Do Not Destroy. Notify DCA Records Coordinator for transfer to the Secretary of State, State Archives.
11	6	NOTIFY ARCHIVES	Memorandum File (also known as Chronological File)	P		3 years			3 years		Retain in office for 3 years from current calendar year, Do Not Destroy. Notify DCA Records Coordinator for transfer to the Secretary of State, State Archives.

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STATE OF CALIFORNIA - SECRETARY OF STATE
RECORDS RETENTION SCHEDULE

STD. 73 (REV. 2/2015)

STATE RECORDS PROGRAM

(35) APPROVAL NUMBER											(36)
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ITEM #	CUBIC FEET*	CA. STATE ARCHIVES USE ONLY	TITLE AND DESCRIPTION OF RECORDS (Double spaces between items)	MEDIA	VITAL	RETENTION				PRA & IPA	REMARKS
						OFFICE	DEPT.	SRC	TOTAL		
(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)
12	2	NOTIFY ARCHIVES	License Law/Statutes	P		Active			Active		Active is until suspended. Retain as historical data. Review at 50 years.
13			Board Rules and Regulations	P		Active			Active		Active is until suspended. Retain as historical data. Review at 50 years.
14	6		License Law and Board Rules and Regulations; "California	P		Active			Active		Active until revised, superseded or rescinded. A copy of each edition is retained for reference and as historical data. Review at 50 years.
15	4		Licensing Statistics Reports	P/M/E		10 years			10 years		Retain for 10 years and then destroy.
16	4		Enforcement Statistics Reports	P/M/E		10 years			10 years		Retain in office for 10 years from current calendar year and then destroy.
17	1		Internet (Website) Statistics Reports *	P/E		5 years			5 years		Retain 5 years, then destroy. *Records are from 2005 to current.
18	1		Administrative Management Statistics (includes Agency	P/E		15 years			15 years		Retain 15 years, then destroy.
19	36		Budget Files: a) Expenditures b) Statements of Revenue c) Budget worksheets d) Budget Change Proposals e) Dept. of Finance Budget Letters	P/E		Active +1			Active +1		Active + 1 year. Active is current budget year, retain 1 year thereafter, then destroy. Original records are retained in the Budget Office per recommended CalRIM retention.
			Admin Management Records								
			Personnel files and related documents including attendance	P/E						XI	NOTE: Official personnel records/files are located at the DCA Personnel Office. These records/files are active until employee separates, transfers or retires pursuant GC6254 and CC1798. These records/files are exempt from public disclosure, but individual (whom it is regarding) is allowed access.

RECORDS RETENTION SCHEDULE

STD. 73 (REV. 2/2015)

(35) APPROVAL NUMBER											(36)
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ITEM #	CUBIC FEET*	CA. STATE ARCHIVES USE ONLY	TITLE AND DESCRIPTION OF RECORDS (Double spaces between items)	MEDIA	VITAL	RETENTION				PRA & IPA	REMARKS
						OFFICE	DEPT.	SRC	TOTAL		
(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)
20	92		Personnel Files (in Supervisor's control)	P/E		Active +1 year			Active +1 year		Active until employee terminates from CSLB. Retain 1 year thereafter, then destroy.
21	12		Request for Personnel Action (RPA's)	P		4 years			4 years		Retain 4 years from current calendar year, then destroy.
22	1	NOTIFY ARCHIVES	Policy and Procedure Memos	P		25 years		25 years	50 years		Retain in office for 25 years from current calendar year. After 25 years, send to SRC for 25 years. Notify DCA Records Coordinator for transfer to the Secretary of State, State Archives.
23	1	NOTIFY ARCHIVES	Management Memos (includes Administrative and Field Memos)	P		3 years			3 years		Retain in office for 3 years from current calendar year, Do Not Destroy. Notify DCA Records Coordinator for transfer to the Secretary of State, State Archives.
24	7		Performance Measures	P		15 years			15 years		Retain in office for 15 years from current calendar year, then destroy.
25	6		Administrative Management Statistics (Agency Statistical Profile, etc.)	P		15 years			15 years		Retain 15 years from current calendar
26	3		Administration Division Office Procedures (for contracts, purchasing, personnel, etc.)	P/E		Active			Active		year, then destroy. Active is until revised, superseded or rescinded.
27	8		Budget Files: a) Expenditures b) Statements of Revenue c) Budget worksheets d) Budget Change Proposals e) Department of Finance Budget Letters	P/E		10 years			10 years		Archive - retain for a minimum of 10 years from end of last fiscal year affected. Active files kept in Executive (Item 19). Items A-E

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(35) APPROVAL NUMBER											(36)
											Page 6 of 24 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 & IPA (47)	REMARKS (48)
						OFFICE (43)	DEPT. (44)	SRC (45)	TOTAL (46)		
28	3		Board of Control Claims	P		2 years			2 years		Retain for two years from end of fiscal year claim is submitted.
29	1.5		<u>Admin Management Records, Continued</u> Audit Reports	P		2 years			2 years		This item is prepared by auditors after completing an audit. Retain for a minimum of 2 years after completion of audit.
30	113		Fiscal Files/Cashiering a) Cashiering Log Books b) Miscellaneous Log Books c) Approved Report of Collections d) Transfer/Refunds e) Cash Refunds f) Revenue Refund Requests g) Relief of Accountability h) Return Payment Notices i) Citation Transmittals j) Buy-Back Documents from DCA k) Miscellaneous Receipts l) List Log	P/E		Active			Active		Retain Paper as Active until Scanned, once Scanned retain 90 days, then destroy. Items A-L If document has not been scanned into IWAS, retain for 4 years from the end of the fiscal year or until audited or until the documents are scanned into IWAS. Items A-L Active until no longer needed for reference, review in 50 years; whichever occurs first.
31	8		Contract Files - contains copies of agreements between CSLB and a) Inter-Agency Agreements b) Maintenance c) Collection Agency d) Consultants e) Arbitration Program	P		Active +4			Active +4		Active is term of contract. Retain for 4 years from end of fiscal year in which encumbrance is liquidated, or until audit; whichever occurs first. EXCEPTION: Any contract or inter-agency agreement which is exempt from review by the DGS (see SAM Section 1215) shall be retained for three years or until audit by DGS, which ever

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RECORDS RETENTION SCHEDULE

STD. 73 (REV. 2/2015)

(35) APPROVAL NUMBER											(36)
											Page 7 of 24 Pages
ITEM #	CUBIC FEET*	CA. STATE ARCHIVES USE ONLY	TITLE AND DESCRIPTION OF RECORDS (Double spaces between items)	MEDIA	VITAL	RETENTION				PRA & IPA	REMARKS
						OFFICE	DEPT.	SRC	TOTAL		
(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)
			f) Public Education								occurs first. NOTE: Original contracts are kept at DCA. Items A-F
32	7		Space Management Files – contains copies of information a) Floor Plans b) Building Specifications c) Leases	P		Active +4			Active +4		Active is for the life of the building and/or while the property belongs to the State. Then retain until audited or a maximum of 4 years from disposition. Items A-C
33	19		<u>Admin Management Records, Continued</u> Automotive Files – contains copies of the following information a) Automotive Repair Estimate Sheet b) Automotive Maintenance Record c) Monthly Travel Log (Mileage Log) d) Report of Vehicle Accident e) Review of State Driver Accident f) Home Storage Permit	P		1 year 1 year 1 year Active +4 yrs Active +4 Active +3 yrs			1 year 1 year 1 year Active +4 yrs Active +4 Active +3 yrs		Retain at least one year from end of fiscal year in which information was provided. Items A & B Retain at least one year from end of fiscal year in which last entry was made. Active until dispositions of automobile is made. After that, destroy after audit or 4 years, whichever occurs first. Active until dispositions of automobile is made. After that, destroy after audit or 4 years, whichever occurs first. Active is as long as vehicle is in use. After that, destroy after audit or 3 years, whichever occurs first.
34	4		Inventory Files (contains inventory records for all CSLB vehicles, office equipment, and furniture)	P/E		Active +4			Active +4		Active is until physical inventory has been taken subsequent to the date of the forms and reconciled to the perpetual inventory. Retain for 4 years, or until audit; whichever occurs first.

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RECORDS RETENTION SCHEDULE

STD. 73 (REV. 2/2015)

(35) APPROVAL NUMBER											(36)
											Page 8 of 24 Pages
ITEM #	CUBIC FEET*	CA. STATE ARCHIVES USE ONLY	TITLE AND DESCRIPTION OF RECORDS (Double spaces between items)	MEDIA	VITAL	RETENTION				PRA & IPA	REMARKS
						OFFICE	DEPT.	SRC	TOTAL		
(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)
35	4		Property Survey Files (Std. 152) (contains disposition of vehicles, office equipment, IT equipment, phones, and furniture)	P/E		4 years			4 years		Retain for 4 years from end of fiscal year in which prepared, or until audit; whichever occurs first.
36	36		Procurement and Accounting Files - contains copies of information regarding the following: a) Travel Claims b) Invoices c) Purchase Orders	P P P		4 years 4 years 4 years			4 years 4 years 4 years		Retain for 4 years from end of fiscal year in which prepared, or until audit; whichever occurs first. Items A-C
<u>Admin Management Records, Continued</u>											
37	1		Records Inventory Worksheet (Std. 70)	P/E		Active			Active		Retain as Active with previous schedule's worksheets until next inventory, or when no longer needed for reference or analysis.
38	8		Records Trasnfer List (Std. 71)	P		Active			Active		Retain as Active until all records listed have been destroyed, retired permanently, transferred to State Archives, or when no longer needed, whichever is later.
39	1.1		Records Retention Schedule Approval Request and Records Retention Schedules (Std. 72 and 73)	P/E		Active			Active		Retain as 'Active with previous schedule until next revision or until superseded.
40	0.4		State Records Center Reference Request (Std. 76)	P		Active			Active		Retain as active until request for referral or withdrawal is completed.

RECORDS RETENTION SCHEDULE

STD. 73 (REV. 2/2015)

(35) APPROVAL NUMBER											(36)
											Page 9 of 24 Pages
ITEM #	CUBIC FEET*	CA. STATE ARCHIVES USE ONLY	TITLE AND DESCRIPTION OF RECORDS (Double spaces between items)	MEDIA	VITAL	RETENTION				PRA & IPA	REMARKS
						OFFICE	DEPT.	SRC	TOTAL		
(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)
41	1		Authorization for Record Destruction	P		4 years			4 years		Retain for 4 years from date destruction is authorized, or until audited, whichever occurs first (maximum of four years).
			Warehouse Files:								
42	8		Issues Slips (record of forms distributed to CSLB staff, offices, and licensing schools)	P		6 months			6 months		Retain in office for 6 months from current calendar year and then destroy.
43	1		Insertor Room Log	P		4 years			4 years		Retain in office for 4 years from current calendar year and then destroy.
44	16		Shipping Files (packing slips, shipping logs outgoing, shipping logs incoming, express shipping log)	P		4 years			4 years		Retain in office for 4 years from current calendar year and then purge.
			Public Affairs Records								
45	3	NOTIFY ARCHIVES	News releases and industry bulletins (from CSLB to media and industry)	P		15 years			15 years		Retain in office 15 years then archive.
46	17	NOTIFY ARCHIVES	a) Reference File (Information used for contractor/consumer education/outreach; includes reference, background, drafts, approval, and printing information)	P		5 yrs			5 yrs		Retain background and reference materials in office for 5 years then destroy.
			Public Affairs Records, Continued								
47	3.5		b) Publication (Publication masters and samples) Clips (Newspaper, magazine and Internet clippings)	P P/E		Perm 3 years			Perm 3 years		Retain publication masters as historical. Retain in office for 3 years from current calendar year and then purge.
48	10	NOTIFY ARCHIVES	Video and audio tapes (ads, video/audio, media coverage, enforcement activity, announcements, topic-specific consumer DVDs)	E		Perm			Perm		Retain as historical. Review as technology changes, or 50 years.

RECORDS RETENTION SCHEDULE

STD. 73 (REV. 2/2015)

(35) APPROVAL NUMBER											(36)
											Page 10 of 24 Pages
ITEM #	CUBIC FEET*	CA. STATE ARCHIVES USE ONLY	TITLE AND DESCRIPTION OF RECORDS (Double spaces between items)	MEDIA	VITAL	RETENTION				PRA & IPA	REMARKS
						OFFICE	DEPT.	SRC	TOTAL		
(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)
49	2		Biographies and photographs of Board members and staff members	P		Perm			Perm		Retain as historical. Review at 50 years.
50	2		Performance measures (used to compile PAO monthly and historical statistics)	P		15 years			15 years		Retain in office for 15 years from current calendar year and then destroy.
51	5		Correspondence (inquiries regarding publications, contractor seminars, etc.)	P		2 years			2 years		Retain in office for 2 years from current calendar year and then destroy.
52	2	NOTIFY ARCHIVES	Photographs (all CSLB-related)	P/E/F		Perm			Perm		Retain as historical. Review at 50 years.
53	4		Working Files (information used to edit the Contractors License Law and Reference Book)	P/E		5 years			5 years		Retain in office for 5 years from current calendar year and then destroy.
54	7	NOTIFY ARCHIVES	CA Licensed Contractor Newsletter	P/E		Perm			Perm		Retain as historical. Review at 50 years.
55	1		Advertising agency campaign	P/E		Perm			Perm		Retain as historical. Review at 50 years.
56			Social Media Postings	M		3 years			3 years		Retain in office for 3 years from current calendar year and then destroy.
			<u>Office of Informational Services (OIS) Records</u>								Records are copies, OIS retains originals
57	20		Telecom Records: Phone bills - CSLB land line phone bills	P		4 years			4 years		Retain in office for 4 years from current calendar year and then destroy.
58	20		Phone bills - CSLB cell phone bills	P		4 years			4 years		Retain in office for 4 years from current calendar year and then destroy.
59	0.1		Interactive Voice Response System Statistics	P/E		Active			Active		Active until revised, replaced/superseded or rescinded then destroy.

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RECORDS RETENTION SCHEDULE

STD. 73 (REV. 2/2015)

(35) APPROVAL NUMBER											(36)
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ITEM #	CUBIC FEET*	CA. STATE ARCHIVES USE ONLY	TITLE AND DESCRIPTION OF RECORDS (Double spaces between items)	MEDIA	VITAL	RETENTION				PRA & IPA	REMARKS
						OFFICE	DEPT.	SRC	TOTAL		
(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)
60	0.1		Interactive Voice Response System Manuel	M		Active			Active		Active until revised, replaced/superseded or rescinded then destroy.
			<u>OIS Records, Continued</u>								Records are copies, OIS retains originals
61	18.6		Data Service Records: Public Sales Request Forms Public Sales Logs Public Sales Cashier Collection Reports Public Sales Selection Summary	P		Active			Active		Active is until audited; destroy after audit.
62	12		Microfiche	F		1 year			1 year		Retain in office for 1 year from current calendar year and then destroy.
63	8		Pocket Card Counts and Wall Cert Counts	P		Active			Active		Active is until audited; then destroy.
64	5		Reference Materials	P		Active			Active		Retain as historical, review at 50 years
65	3.6		Computer Access Forms	P		Active			Active		Retain as historical, review at 50 years
66	0.5		Programming Support Records: Macro Files - Contains macros for CSLB staff.	P/M		Active			Active		Active is until revised, replaced, superseded or rescinded, then destroy.
67	0.4		Deleted Licenses	P		Active			Active		Retain as reference data for programming.
68	1.9		Internet (website) statistics	E		5 years			5 years		Active until no longer needed for reference, review in 50 years; whichever occurs first.
69	1.9		OTEC invoices	P/E		3 years			3 years		Retain for 3 years, then destroy.
70	56.9		Programming Documentation	P		Active			Active		Continuously updated; destroy when updated.
71	1.5		Security	P		Active			Active		Continuously updated; destroy when updated.
72	5.5		File Loads	P		Active			Active		Continuously updated; destroy when updated.
73	1.4		Licensing Statistics	P		Active			Active		Retain as historical, review at 50 years
74	0.7		Contracts	P		Active			Active		Retain as historical, review at 50 years

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(35) APPROVAL NUMBER											(36)
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ITEM #	CUBIC FEET*	CA. STATE ARCHIVES USE ONLY	TITLE AND DESCRIPTION OF RECORDS (Double spaces between items)	MEDIA	VITAL	RETENTION				PRA & IPA	REMARKS
						OFFICE	DEPT.	SRC	TOTAL		
(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)
75	2.4		Forms/Guides	P		Active			Active		Continuously updated; destroy when updated.
76	7.7		Projects	P		Active			Active		Retain as historical, review at 50 years
77	1.7		Performance Measures/Legislation	P		3 years			3 years		Retain in office for 3 years from current calendar year and then destroy.
78	0.5		Technical Support: Teale Service Requests	P		2 years			2 years		Retain for 2 years, then destroy
79	1		Purchasing Docs, POs, WCJF, software licenses – contains all information regarding purchases for CSLB's OIS	P		7 years			7 years		Retain for 7 years or until audit, whichever occurs first.
80	0.05		Feasibility Study Reports (FSRs)	P		4 years			4 years		Destroy 4 years after approval. Post Implementation Evaluation Report (PIER).
81	0.05		Post Implementation Evaluation Report (PIER)	P		2 years			2 years		Destroy 2 years after the system is no longer operational or following an audit, whichever is later.
<u>OIS Records, Continued</u>											
82	1.5		Technical Support, cont.: Wiring Specs/Contract	P		5 years			5 years		Retain in office for 5 years from current calendar year and then destroy.
83	0.2		Survey Equipment	P/E		5 years			5 years		Retain in office for 5 years from current calendar year and then destroy.
84	0.05		Disaster Recovery Plan	P/E		Active			Active		Active until superseded, review at 50 years.
85	0.05		Inventory Files (IT equipment and phones)	P/E		Active +4 yrs			Active +4 yrs		Active is until physical inventory has been taken subsequent to the date of the forms and reconciled to the perpetual inventory. Retain until audit or 4 years, whichever occurs first.
<u>Testing Records</u>											
86			Itembank (item bank of examination questions)	M		Active +5			Active + 5 years	X	Active is until item retirement date. Retain 5 years thereafter, then destroy.

STATE OF CALIFORNIA - SECRETARY OF STATE
RECORDS RETENTION SCHEDULE

STD. 73 (REV. 2/2015)

STATE RECORDS PROGRAM

(35) APPROVAL NUMBER											(36)
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ITEM #	CUBIC FEET*	CA. STATE ARCHIVES USE ONLY	TITLE AND DESCRIPTION OF RECORDS (Double spaces between items)	MEDIA	VITAL	RETENTION				PRA & IPA	REMARKS
						OFFICE	DEPT.	SRC	TOTAL		
(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)
87			Examination Version	M		Active +5			Active + 5 years	X	Active is until item retirement date. Retain 5 years thereafter, then destroy.
88			Test Materials (diagram, booklets, and blueprints)	M		Active +5					Active is until item retirement date. Retain 5 years thereafter, then destroy.
89	52		Test Materials (diagram, booklets, and blueprints)	P		Active +5 years			Active +5 years	X	Active is until item retirement date. Retain 5 years thereafter, then destroy.
90	0.4		Candidate Exam Files	M/E		5 years			5 years		
91	0.4		Paper Exam Package: a) Exam Answer Sheets b) Answer Keys	P		5 years			5 years	X	Retain in office for 5 years from current calendar year and then destroy.
92	3.5		ADA Documentation	P		5 years			5 years	XI	Retain in office for 5 years from current calendar year and then destroy.
93	7		Consumer Satisfaction Surveys	P/E		3 years			3 years	XI	Retain in office for 3 years from current calendar year and then destroy.
94	17		Occupational Analysis (Surveys and Questionnaires)	P		6 mos			6 mos	X	Retain in office for 6 months from current calendar year and then destroy.
95	17		Occupational Analysis Reports	P		15 years			15 years		Retain in office for 15 years from current calendar year and then destroy.
96	N/A		Candidate Comment Forms with comments	M		2 years			2 years	X	Retain in office for 2 years from current calendar year and then destroy.
Testing Records, Continued											
97	7		Translator Affidavit (Translator applications package)	P		6 years			6 years	XI	Retain in office for 6 years from current calendar year and then destroy.

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ITEM #	CUBIC FEET*	CA. STATE ARCHIVES USE ONLY	TITLE AND DESCRIPTION OF RECORDS (Double spaces between items)	MEDIA	VITAL	RETENTION				PRA & IPA	REMARKS
						OFFICE	DEPT.	SRC	TOTAL		
(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)
98	2		Suspected misconduct recordings of exam (File Structure)	M		3 years			3 years	X	Retain in office for 3 years from current calendar year and then destroy.
99	2		Candidate misconduct investigations packets	P		3 years			3 years	X	Retain in office for 3 years from current calendar year and then destroy.
100	2		Correspondence (Inquiries regarding testing issues)	P		2 years			2 years	XI	Retain in office for 2 years from current calendar year and then destroy.
101	2		Examination Statistics (pass, fail, fail to appear)	P		10 years			10 years		Retain in office for 10 years from current calendar year and then purge.
<u>Licensing Records</u>											
102	50	NOTIFY ARCHIVES	License Management Files – Contains licensing reference a) Class Topics/Class Histories b) Allowed Scope of Work c) Legal Opinions d) Reciprocity e) Waiver f) Unit Function and Changes g) Licensing Guidelines and Requirements	P		Active			Active		Retain as Active until no longer needed for historical reference. Review at 50 years. Items A-G
103	1		Licensing Statistics	P		10 years			10 years		Retain in office for 10 years from current calendar year and then destroy.
104	5.5		Correspondence – contains inquiries regarding class determinations, public works determinations, and licensing issues	P		3 years			3 years		Retain in office for 3 years from current calendar year and then destroy.
105	2.5		Plans and specifications	P		1 year			1 year		Retain in office for 1 year from current calendar year and then destroy.

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						OFFICE	DEPT.	SRC	TOTAL		
(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)
106	11		Microfilm/Microfiche Files - Contains license information	S		Active			Active		Retain as Active until no longer needed for historical reference.
107	2		Posting List File – Contains a weekly listing of the exam, waiver, additional class, and HIS applications, and license inactivation and reactivation	P		3 months			3 months		Retain in office for 3 months from current calendar year and then destroy.
<u>Licensing Records, Continued</u>											
108	40.5		Criminal Background Unit Documents: Documents include, but a) Convictions b) Disclosures c) Livescans d) Memos e) Withdrawal Requests f) DOJ Reject Letters g) Application Releases	P/E		Active			Active		NOTE: Some records may be exempt from public disclosure pursuant the Public Records Act, Government Code 6254. Some data may be accessed by data subject only per Information Practices Act, Article 8, Section 1798. (Disposal Criteria: Confidential witnessed destruction) Retain paper document that has been scanned into IWAS for 2 years after date of scan. If document has not been scanned into IWAS, retain until scanned, then retain for 2 years after scanning. Retain as Active until no longer needed for reference, review at 50 years; whichever occurs first. Items A-G
109	25		Criminal Background Unit Investigations: Denied Applications	P/E		Active			Active		Retain paper document that has been scanned into IWAS for 2 years after date of scan. If document has not been scanned into IWAS, retain until scanned, then retain for 2 years after scanning. Retain as Active until no longer needed for reference, review at 50 years; whichever occurs first.
110			Criminal Offender Record Information (CORI)	P/E		Active			Active	XI	NOTE: Some records may be exempt from

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						OFFICE	DEPT.	SRC	TOTAL		
(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)
											public disclosure pursuant the Public Records Act, Government Code 6254. Some data may be accessed by data subject only per Information Practices Act, Article 8, Section 1798. (Disposal Criteria: Confidential witnessed destruction)
											Active until information is no longer needed for reference, review in 50 years; whichever occurs first. Confidential witnessed destruction.
			<u>Licensing Records, Continued</u>								
111	10351		Application Documents - Original, Additional Class, RME/O and a) Original Application b) Asbestos Certification Application c) Hazardous Substance Removal Application d) Certificate of Experience e) Project List f) Reject Letter g) Correspondence h) Bond and Fee Letter, if eligible i) Reissue Confirmation	P/E		Active			Active	XI	NOTE: Some records may be exempt from public disclosure pursuant to the Public Records Act, Government Code 6254. Some data may be accessed by data subject only per Information Practices Act, Article 8, Section 1798. Retain paper document that has been scanned into IWAS for 2 years after date of scan. If document has not been scanned into IWAS, retain until scanned, then retain for 2 years after scanning. Retain as Active until no longer needed for reference, review at 50 years; whichever occurs first. Items A-I
112			Application Documents – Active or Inactive License Files and	P/E		Active			Active		Retain paper document that has been scanned into IWAS for 2 years after date of scan. If document has not been scanned into IWAS, retain until scanned, then retain for 2 years after scanning. Retain as Active until no longer needed for reference, review at 50 years; whichever occurs first.

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ITEM #	CUBIC FEET*	CA. STATE ARCHIVES USE ONLY	TITLE AND DESCRIPTION OF RECORDS <i>(Double spaces between items)</i>	MEDIA	VITAL	RETENTION				PRA & IPA	REMARKS
						OFFICE	DEPT.	SRC	TOTAL		
(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)
113			Application Documents	P/E		Active			Active		Retain paper document 2 years after scanned into IWAS, retain as Active until no longer needed for reference, review at 50 years, whichever is first.
114			Testing Documents (Active or Inactive License Files and Pending a) Translator Requests b) Notice to Appear and Re-exam Notice, if applicable	P/E		Active			Active		Retain paper document 90 days after scanned into IWAS, retain as Active until no longer needed for reference, review at 50 years, whichever is first.
115			Testing Documents (Expired or Cancelled License Files) – a) Translator Requests b) Notice to Appear and Re-exam Notice, if applicable	P/E		Active			Active		Retain paper document 2 years after scanned into IWAS, retain as Active until no longer needed for reference, review at 50 years, whichever is first.
116			<u>Licensing Records, Continued</u> Contractors License File and Home Improvement Salesperson (HIS) Registration Documents, which include one or more of the following: a) Required Bonds b) Bond Cancellations/Reinstatements c) Renewals d) Officer Change, if a Corporation e) Change of Name/Address f) Workers' Compensation Exemptions and Certificates of Insurance, Cancellations and Reinstatements	P/E						XI	NOTE: Some records may be exempt from public disclosure pursuant the Public Records Act, Government Code 6254. Some data may be accessed by data subject only per Information Practices Act, Article 8, Section 1798. (Disposal Criteria: Confidential witnessed destruction)

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						OFFICE	DEPT.	SRC	TOTAL		
(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)
			g) Reactivation/Inactivation h) Status Letter i) Cancellation Request j) Disassociation Request k) Judgment Information l) Family Support Information m) Reject Letters/Correspondence n) Certified License Histories o) Bond of Qualifying Individual Exemption Certificate for Responsible Managing Officer/Qualifying Partner 13A-30 p) Cash Deposit Records								
117			Contractors License File and HIS Registration Documents (where license is "Active" or "Inactive" – does not apply to license files with disciplinary actions)	P/E		Active			Active		Retain paper document 90 days after scanned into IWAS, retain as Active until no longer needed for reference, review at 50 years, whichever is first.
118			Contractors License File and HIS Registration Documents (where license is "Expired" or "Cancelled" – does not apply to license files with disciplinary actions)	P/E		Active			Active		Retain paper document 90 days after scanned into IWAS, retain as Active until no longer needed for reference, review at 50 years, whichever is first.
119			Contractors License File and HIS Registration Documents (where license/Registration is expired, cancelled, or revoked and has disciplinary actions)	P/E		Active			Active		Retain paper document 90 days after scanned into IWAS, retain as Active until no longer needed for reference, review at 50 years, whichever is first.
			<u>Licensing Records, Continued</u>								
120	31		Records Certification: Subpoena Files – Contains copies of subpoenas received by CSLB and information given out in response to the subpoenas	P		3 years			3 years	XI	NOTE: Some records may be exempt from public disclosure pursuant the Public Records Act, Government Code 6254. Some data may be accessed by data subject only per

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						OFFICE	DEPT.	SRC	TOTAL		
(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)
											be accessed by data subject only per Information Practices Act, Article 8, Section 1798. (Disposal Criteria: Confidential witnessed destruction)
121	30		Certified License Histories – Contains copies of license histories that can be used in legal actions	P/E		Active			Active	XI	Disposal Criteria: Confidential witnessed destruction. Retain paper document 90 days after scanned into IWAS, retain as Active until no longer needed for reference, review at 50 years, whichever is first.
122	3		Request for copies	P/E		Active			Active		Retain paper document 90 days after scanned into IWAS, retain as Active until no longer needed for reference, review at 50 years, whichever is first.
123	6.5		Workers' Compensation: Insurance Company tape report printouts of Workers' Compensation Reinstatement and Cancellations	P		2 years			2 years		Retain in office for 2 years from current calendar year and then purge.
124	2.8		Insurance Company tape report printouts of Workers' Compensation Renewal Certificates	P		1 year			1 year		Retain in office for 1 year from current calendar year and then purge.
125	0.4		License Renewal: License Renewal Error List	P		1 year			1 year		Retain in office for 1 year from current
126	6.5		License Bonds: Insurance Company tape report printouts of Bond Cancellations and Reinstatements	P		3 years			3 years		Retain in office for 3 years from current calendar year and then purge.
127	2.5		Cash Deposit Log	P		Active			Active		For internal control and auditing. Retain as

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						OFFICE	DEPT.	SRC	TOTAL		
(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)
											historical data. Review at 50 years.
			<u>Enforcement Records</u>								
										XI	NOTE: Some records may be exempt from public disclosure pursuant the Public Records Act, Government Code 6254. Some data may be accessed by data subject only per Information Practices Act, Article 8, Section 1798.
											NOTE: 1798.3(9)(4) Civil Code, closed cases are open to public disclosure.
											NOTE: Some items may require confidential witnessed destruction.
128	933		Closed Complaint (Non-Legal): <i>Investigation Center/Intake Mediation Center/SWIFT</i>	P		2 yrs			2 yrs	XI	Retain 2 years from effective date of closure.
129	56		Closed Complaints with Financial Injury	P		20 years			20 years	XI	Retain 20 years, then destroy.
130	133		Warning Letters	P		5 years			5 years	XI	Retain 5 years, then destroy.
131	282		Arbitration: <i>Investigation Center/Intake Mediation Center/SWIFT</i>	P		1 year			1 year	XI	In case of compliance, retain 1 year then purge.
			<i>Case Management</i>			20 years		40 years	60 years		In case of revocation for non-compliance, retain 20 years at CSLB, 40 years at SRC, total 60 years.
			Application Investigations: <i>Investigation Center</i>							XI	NOTE: Some records may be exempt from public disclosure pursuant the Public Records Act, Government Code 6254. Some data may be accessed by data subject only per Information Practices Act, Article 8, Section 1798. (Disposal Criteria: Confidential

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						OFFICE	DEPT.	SRC	TOTAL		
(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)
											witnessed destruction)
132	130		Verified	P/E		Active			Active		Retain paper document 2 years after scanned into IWAS, retain as Active until no longer needed for reference, review at 50 years, whichever is first.
			<u>Enforcement Records</u>								
133	118		Denial	P/E		Active +20		Active +40	Active +60		Retain paper documents that have been scanned into IWAS for 2 years after date of scan. If document has not been scanned into IWAS, retain for 60 years or until scanned into IWAS then retain for 2 years after scanning. Retain as Active until no longer needed for reference, review at 50 years.
134	284		Licensee Citations: Licensee Citations "Compliance, Closed": <i>Intake Mediation Center/Investigation Center/SWIFT Case Management</i>	P		1 year 20 years		40 years	1 year 60 years	XI	Retention is computed from effective date of compliance or closure. Retain 1 year, then destroy. Retain 60 years, then destroy.
135			License Citations "Non-Compliance or Revocation": <i>Intake Mediation/Investigation Center/SWIFT Case Management</i>	P		1 year 20 years		40 years	1 year 60 years		Retention is computed from effective date of non-compliance or revocation. Retain 1 year, then destroy. Retain 60 years, then destroy.
136	625		Accusation Files: <i>Intake Mediation Center/Investigation Center/SWIFT</i>	P		3 years			3 years	XI	Retention to be computed from date of compliance or sent for collection. Retain 3 years, then destroy.

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

Summary of Changes		
Previous RRS	Item #	Description of Item revised/added to RRS
CSLB-8-2014	1	Changed remarks section.
CSLB-8-2014	2	Changed remarks section.
CSLB-8-2014	3	Changed remarks section.
CSLB-8-2014	6	Changed remarks section.
CSLB-8-2014	8	Changed remarks section.
CSLB-8-2014	9	Changed remarks section.
CSLB-8-2014	10	Changed remarks section.
CSLB-8-2014	11	Changed remarks section.
CSLB-8-2014	15	Changed remarks section.
CSLB-8-2014	16	Changed remarks section.
CSLB-8-2014	22	Changed remarks section.

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						OFFICE	DEPT.	SRC	TOTAL		
(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)
	CSLB-8-2014	23		Changed remarks section.							
	CSLB-8-2014	24		Changed remarks section.							
	CSLB-8-2014	25		Changed remarks section.							
	CSLB-8-2014	42		Changed remarks section.							
	CSLB-8-2014	43		Changed remarks section.							
	CSLB-8-2014	44		Changed remarks section.							
	CSLB-8-2014	47		Changed remarks section.							
	CSLB-8-2014	50		Changed remarks section.							
	CSLB-8-2014	51		Changed remarks section.							
	CSLB-8-2014	53		Changed remarks section.							
	N/A (New item)	56		Social Media Postings Added							
	CSLB-8-2014	57		Changed remarks section.							
	CSLB-8-2014	58		Changed remarks section.							
	CSLB-8-2014	62		Changed remarks section.							
	CSLB-8-2014	77		Changed remarks section.							
	CSLB-8-2014	82		Changed remarks section.							
	CSLB-8-2014	83		Changed remarks section.							
	CSLB-8-2014	91		Changed remarks section.							
	CSLB-8-2014	92		Changed remarks section.							
	CSLB-8-2014	93		Changed remarks section.							
	CSLB-8-2014	94		Changed remarks section.							
	CSLB-8-2014	95		Changed remarks section.							
	CSLB-8-2014	96		Changed remarks section.							
	CSLB-8-2014	97		Changed remarks section.							
	CSLB-8-2014	98		Changed remarks section.							
	CSLB-8-2014	99		Changed remarks section.							
	CSLB-8-2014	100		Changed remarks section.							

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