

CHAPTER 11
RECORDS MANAGEMENT
REVISED JANUARY 2026
TABLE OF CONTENTS

<u>AUTHORITY</u>	11-3
<u>POLICY</u>	11-3
<u>PURPOSE</u>	11-3
<u>DEFINITIONS</u>	11-3
Records Management	11-3
Records	11-3
Nonrecord Material	11-4
<u>RECORDS RETENTION</u>	11-5
Purpose	11-5
Legal Implications	11-5
California Records and Information Management	11-5
Department Records Management Coordinator	11-5
Determining Retention Periods	11-5
STD. 73, Records Retention Schedule	11-6
Retention Schedule Use	11-6
Historical and Research Material	11-6
E-mail	11-7
<u>FILES MANAGEMENT</u>	11-7
<u>RECORDS STORAGE</u>	11-7
Continuing Records Protection	11-7
Types of Storage	11-7
<u>RECORDS DISPOSAL PROCEDURES</u>	11-7
Wastepaper Recycling	11-7
Approved Disposal Alternative	11-8
Preparation for Wastepaper Recycling	11-8
Waste Disposal Contaminants	11-8
Witnessed Destruction of Personal or Confidential Records	11-9
Identification of Accountable Records	11-9
California Law Enforcement Telecommunications System Records	11-10

ANNEXES

<u>A</u> – STD. 73, RECORDS RETENTION SCHEDULE	11-13
<u>B</u> – STD. 73, RECORDS RETENTION SCHEDULE SUMMARY OF CHANGES	11-19

THIS PAGE INTENTIONALLY LEFT BLANK

CHAPTER 11

RECORDS MANAGEMENT

1. AUTHORITY. Sections 14740 through 14774 of the California Government Code, the State Records Management Act, and the State Administrative Manual (SAM) Section 1600 are the authorities for this chapter. The Records Management Program was established to apply efficient and economical methods to create, use, maintain, retain, preserve, and dispose of state records, including those in electronic media.

2. POLICY. The Business Services Section (BSS) is responsible for the administration of a continuous program for the economical and efficient management in the creation, collection, retention, and disposition of records; compliance with established reporting procedures; and guidance in the application of standards and techniques to improve the Department's records and paperwork programs.

3. PURPOSE.

- a. Defines records management and the terminology used.
- b. Provides step-by-step instructions in the preparation of retention schedules.
- c. Lists the reports required by the Records Management Program and explains their preparation.

4. DEFINITIONS.

a. Records Management. Records management refers to systematic procedures that govern the creation, utilization, maintenance, retention, preservation, and final disposition of records.

b. Records. Records are defined as paper, microfilm, electronic data files, magnetic or paper tapes, charts, exhibits, maps, film, photographs, digital document images, and other documents produced, received, owned or used by an agency, regardless of physical form or characteristics.

(1) Active. Records used frequently to conduct current business and referred to more than once per month.

(2) Inactive. Records used occasionally and not generally needed to conduct current business. Inactive records are referred to no more than once per month.

(3) Archival. Records of historical value retained permanently for reference and research purposes. These records are maintained by the Secretary of State (SOS), Office of State Archives (OSA), after they reach their prescribed retention.

(4) Vital. Recorded information that is essential for the continuation or reconstruction of an agency.

(5) Permanent. Records of archival, legal, or administrative value which will be preserved for a period not less than 100 years. These records shall cite an authority for permanent storage. Acceptable authority includes laws and written departmental policies.

(6) Personal and Confidential. Records containing confidential information that shall not be disclosed to unauthorized personnel. These records include, but are not limited to, arrest reports, accident reports, Department of Motor Vehicle printouts, and personnel records.

(7) Accountable Records. Accountable records are sequentially numbered forms.

(8) California Law Enforcement Telecommunications System Records. Confidential material derived from the California Law Enforcement Telecommunications System (CLETS) as designated by the Department of Justice (DOJ) and the Federal Bureau of Investigations (FBI).

c. Nonrecord Material. Nonrecord material is defined as items that can be discarded as soon as they are read. The following are some examples of nonrecord material:

(1) Informal notes, worksheets, and rough drafts of letters, memoranda, or reports that do not represent basic steps in the preparation of documents.

(2) Miscellaneous notices of community affairs, employee meetings, or holidays.

(3) Stocks of manuals, publications, or unused forms that are kept for supply purposes.

(4) Follow-up or suspense copies of correspondence.

(5) Library and reference material.

(6) Samples of reports saved for reference.

5. RECORDS RETENTION.

- a. Purpose. A records retention schedule is a written document outlining the storage and disposition of records.
- b. Legal Implications. Adherence to the retention schedules is mandatory and the responsibility of each commander. Modifications of approved retention schedules could jeopardize testimony given in court or in response to subpoenas. Only a court order or special instructions for the protection of the state's interest may modify a retention schedule. The Department's Office of Legal Affairs shall provide any necessary special instructions pertaining to court processes or court-related matters.
- c. California Records and Information Management. The SOS, California Records and Information Management (CalRIM) program is responsible for developing and coordinating California's Records Management Program. The CHP's Records Management Coordinator (RMC), Records Management Analyst (RMA), or an alternate submits various reports to CalRIM and solicits their assistance and advice on the Department's Records Management Program.
- d. Department Records Management Coordinator. The Department's RMC is the BSS Operations Manager, whose responsibilities are delegated to the RMA assigned to the BSS, Special Projects Unit. Responsibilities include:
 - (1) Coordinating the development, maintenance, and disposition of records.
 - (2) Applying standards and techniques to develop economies and cost avoidances for the Department's Records Management Program.
 - (3) Acting as the liaison between the CHP and the SOS, CalRIM, the State Records Center (SRC), and the State Records Appraisal Program (SRAP) within the State Archives Division of the SOS, and is responsible for annual reporting related to departmental records management to these entities.
 - (4) Documenting and approving departmental purchasing of office equipment and supplies, such as file cabinets and shredders, for the purpose of records storage and destruction. Information regarding purchase approval procedures can be found in Highway Patrol Manual (HPM) 11.2, Materials Management Manual, Chapter 7, Purchases.
- e. Determining Retention Periods. Government regulations and operational needs are the factors that determine retention periods. Establishing retention periods involves reviewing the purpose of the record. A retention period should be based on the records' usefulness and value to the state agency that creates and/or uses them. Retention periods are based on the functional value of the records, not

on the format or media type. State agencies will determine the records' administrative, legal, and fiscal value. These values are based on an analysis of work processes, legal requirements, research needs, as well as other factors regarding how these records support the current work of the agency. Contact the Department's RMA for assistance, if needed.

NOTE: Disaster-related records (e.g., timekeeping and purchasing documents resulting from a federally declared disaster) require extended retention periods due to federal auditing requirements. The Office of Primary Interest for the coordination of reimbursement efforts, including the retention of pertinent records, is the Protective Services Division, Emergency Operations and Safety Services Section. For more information, refer to HPM 50.1, Emergency Incident Management Planning and Operations Manual, Chapter 2, Emergency Incident Management and the Incident Command System.

f. STD. 73, Records Retention Schedule. Records Retention Schedules are prepared on the STD. 73, Records Retention Schedule, and submitted to the RMA for the approval process. When approved by the SOS, OSA, the STD. 73 is a legal document and the only retention or disposal authority governing the documents. Detailed preparation instructions are contained in Annex A. Retention schedules remain the same regardless of the medium used to retain that record (e.g., information stored in electronic form or in a local network database). Refer to Annex A for a sample completed STD. 73.

(1) Approval Procedure. The schedules shall be submitted to the RMA for the approval process. Offices of Primary Interest are required to submit pages 1 and 2 of the STD. 73. Changes may include adding/removing forms, changing retention periods, or updating media types. All forms must be accounted for, and any new, deleted, or changed forms are to be listed on the Records Retention Summary of Changes (refer to Annex B). Offices of Primary Interest are responsible for determining appropriate retention periods. Completed STD. 73s require Division approval prior to submission to the RMC/RMA.

g. Retention Schedule Use. Use of the Records Retention Schedule is mandatory. The Records Retention Schedule is accessible on the CHP Intranet site under: Resources ➤ Headquarters ➤ Records Retention Schedule.

h. Historical and Research Material. Some of the forms and documents on an approved Records Retention Schedule may be stamped "Notify Archives" (refer to Annex A, instruction #32, for the STD. 73). These annotations are made by the SOS State Archivist during the approval process. When these records are ready for disposal, commands shall advise the RMA, who will make arrangements with the State Archivist to review and select pertinent records for permanent preservation in the state's archives. These records include:

- (1) Commissioner's correspondence (dependent on subject matter).
- (2) Conference minutes.
- (3) Department studies and reports.
- (4) Records of enduring value which record significant departmental events or document the administrative history and development of the Department.

i. E-mail. E-mail communications are considered "records" for retention purposes. If an e-mail becomes an integral part of another file, its retention period becomes the same as that subject file, as outlined in the Records Retention Schedule. E-mails meeting this criterion shall be retained in the same media format (i.e., hardcopy, file, binder, disk, etc.) as the associated subject file (i.e., form, memo, investigation, etc.).

NOTE: Policy outlining e-mail storage and deletion timeframes can be found in HPM 40.4, Information Security and Administration Manual, Chapter 3, E-mail. This chapter provides policy on the electronic storage of e-mail communications, **not** the retention policy related to e-mail communications as a record.

6. FILES MANAGEMENT. Shelf files are approved as standard state equipment. In accordance with California Division of Occupational Safety and Health requirements for safe and uninterrupted operation, all shelf files are to be bolted to walls or arranged back to back and may not exceed six shelves. Commands shall ensure that the records are safeguarded and can be recovered in the event of a disaster.

7. RECORDS STORAGE.

a. Continuing Records Protection. The provisions of the Information Practices Act (refer to Chapter 13, Information Disclosures – Public Records and Rights of Privacy, of this manual) are extended to stored records. The need to safeguard record contents from unauthorized access continues to exist until destruction is witnessed or transfer is completed.

b. Types of Storage. The period between the end of the retention and before destruction is critical and may need additional oversight to evaluate the types of storage facilities available.

- (1) Office Storage. Records that are current or active are to be retained in the immediate work area.

(2) State Records Center Storage. The SRC handles the storage of inactive records with high volume or lengthy retention periods.

(a) An STD 71, Records Transfer List, must be prepared to transmit records for storage with the SRC. Once completed, e-mail the STD 71 to the RMA, at RecordsManagement@chp.ca.gov. The STD 71 is available on the CHP Intranet site online Forms directory. You may contact the RMA for instructions on preparing the STD 71.

8. RECORDS DISPOSAL PROCEDURES.

a. Wastepaper Recycling. Headquarters commands shall use a state-contracted recycling company for wastepaper recycling. The RMA will coordinate the wastepaper recycling contract for all headquarters commands. Field commands may use the California Department of Resources Recycling and Recovery (CalRecycle) website at <http://calrecycle.ca.gov/Contracts/> to determine if there is a contract for their location.

b. Approved Disposal Alternative. In noncontract areas, paper that does not contain personal or confidential information may be used by schools or volunteer organizations. The arrangements for this type of disposal shall not involve a cost to the Department.

c. Preparation for Wastepaper Recycling. Headquarters commands shall use the provided appropriate recycling containers for items listed in paragraph 8.c.(1) and 8.c.(2) below. The remaining grades of wastepaper shall be placed in separate containers for disposal.

(1) White. Letterhead, memos, adding machine tape, white forms, carbon copies (without carbons), etc.

(2) Mixed Waste. Manila folders, newsprint, colored paper, card stock, etc.

d. Waste Disposal Contaminants. The following substances contaminate and reduce the amount of money recovered in the sale of wastepaper and shall be removed prior to disposal:

(1) Rubber bands.

(2) Cellophane, masking, packaging or any other type of adhesive tape.

(3) Large metal clips (excluding paper clips).

(4) Labels or pressure-sensitive stickers.

(5) Paper—Goldenrod, carbon, coated/slick (including magazines), photographic, or blueprint.

(6) Garbage.

(7) All plastic items, including binders.

(8) Tablet bindings.

e. Witnessed Destruction of Personal or Confidential Records.

(1) Records that contain personal or confidential information shall be protected from unauthorized access until they are destroyed.

(a) The records are to be placed in waste receptacles for normal trash pickups or recycle containers when they are crosscut or micro-cut shredded to protect the identity of the individuals to whom the information pertains.

(b) If crosscut or micro-cut shredding is not available, personal and confidential records shall be placed in acceptable boxes that are approximately the size and weight of standard copier paper boxes. Please refrain from overfilling boxes or using boxes smaller or larger than the suggested size. Large or oddly shaped boxes are difficult to palletize and can make pallets unsafe to transport. Commands shall seal boxes with packaging tape and affix the green STD. 75, Confidential Destruction Label, to the top of the box. These labels are placed throughout all headquarters mailroom annexes for easy accessibility. Lastly, each headquarters command shall deliver confidential destruction boxes to a mailroom annex for the Business Services, Mail Services Unit to pick up. Mailroom annex locations can be found in Headquarters Standard Operating Procedures, Section 1.5, Conservation. Area offices shall utilize the state-issued Procurement Card for the purchase of approved shredders and/or a service contract for confidential document destruction services. This ensures secure handling and disposal of sensitive materials in compliance with organizational and regulator standards.

1 The records prepared for disposal shall be free of any of the contaminants that are listed in paragraph 8.d.(1)-(8).

(2) Witnessed Destruction. An employee of the Department shall witness the destruction of all personal or confidential material that is destroyed by a private company. Unless otherwise specified in this chapter, if the records are to be destroyed at the Department of General Services SRC in West Sacramento, California, a departmental employee does not need to witness the destruction.

f. Identification of Accountable Records. Disposal of accountable forms is subject to SAM Section 1750 which states, "Accountable forms are unused pre-numbered forms used to record or transfer money. Examples are checks, receipts, meal tickets, and licenses." Accountable records also include Commercial Vehicle Safety Alliance (CVSA) or other numbered stickers and enforcement forms.

(1) Accountable records shall be protected from unauthorized access until destroyed. Such records are crosscut or micro-cut shredded. If crosscut shredding is not available, the records shall be accumulated in a secured area in cartons and sealed with tape of sufficient strength to withstand handling and transportation.

(2) The destruction of accountable forms should be witnessed by an auditor from the CHP Audits and Inspections Section. If an auditor is unavailable, the destruction should be witnessed by an employee who is not directly responsible for the handling or accounting of the documents.

(3) The destruction of CVSA decals shall also be in accordance with HPM 82.6, Commercial Enforcement Manual, Chapter 3, Inspection Policies.

(4) After the destruction of accountable forms, a memorandum shall be prepared in duplicate, signed by the witness, and filed. The employee shall keep the original memorandum and provide a copy to the witness. The memorandum shall certify the following:

(a) The reason for destroying the documents.

(b) The type and numbers of the destroyed documents.

(c) That all documents listed were destroyed.

(d) How the documents were destroyed.

(e) The date on which the documents were destroyed.

g. California Law Enforcement Telecommunications System Records.

Commanders shall ensure confidential records and materials derived from CLETS are maintained and destroyed in accordance with FBI and DOJ policies. The FBI Criminal Justice Information Services Security Manual states that physical media shall be destroyed by shredding or incineration and destruction witnessed or carried out by authorized personnel.

(1) If shredding is to be used for the destruction of confidential material, it shall be destroyed in one of the following approved manners:

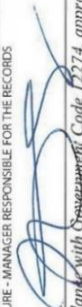
(a) On-site shredding with the use of a crosscut or micro-cut shredder (strip-cut shredding is not an approved method).

(b) If using non-CHP personnel (private vendor, DGS, etc.) for on-site or off-site destruction, CHP personnel shall escort the confidential material at all times, up to and including the destruction of the material. At no time shall CHP personnel leave the confidential material unsupervised.

THIS PAGE INTENTIONALLY LEFT BLANK

ANNEX A

STD. 73, RECORDS RETENTION SCHEDULE

STATE RECORDS PROGRAM			
1) DEPARTMENT* California Highway Patrol		IMS CODE	(3) PAGE 1 OF 3 PAGES
4) DIVISION / BRANCH / SECTION ASD/BSS		(2) AGENCY BILLING CODE 08076	
(15) ADDRESS 601 North 7th Street, Sacramento, CA 95811			
3) CHECK THE APPROPRIATE BOX (16) ☐ New schedule of records that have never been scheduled. [Complete boxes (9)-(12)] (17) ☒ Revising a previous schedule. [Complete boxes (9)-(16)] (A new approval number will be assigned.) (18) ☐ Amending some pages of a previous schedule. [Complete boxes (13) - (16)] (The original approval number will remain in effect.)			
NEW SCHEDULE INFORMATION (if applicable)		(11) NUMBER OF PAGES 3	(12) CUBIC FEET (Total Schedule) 299
PREVIOUS SCHEDULE INFORMATION (if applicable)		(14) APPROVAL NUMBER 2019-197	(15) APPROVAL DATE(S) 09/06/2019
17) FUNCTIONAL STATEMENT			
Forms related to procurement and operational functions of the Department			
PART I - AGENCY STATEMENTS Is 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 Commander	(20) PHONE NUMBER (916) 843-3601	(21) DATE SIGNED 5/24/24
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	(24) NAME - (Printed or Typed) Vivian Phang	(25) PHONE NUMBER (916) 843-3603
PART II A - SECRETARY OF STATE APPROVAL (Per Government Code Section 12272)			
(27) SIGNATURE - CALIRM CONSULTANT	(28) APPROVAL NUMBER		(29) APPROVAL DATE
(30) EXPIRATION DATE			
FOR ARCHIVES STAMP			
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	(34) DATE SIGNED		
*Department refers to any Agency, Department, Board, Commission, Office or Other			

ANNEX A

STD. 73, RECORDS RETENTION SCHEDULE (continued)

STATE OF CALIFORNIA - SECRETARY OF STATE RECORDS RETENTION SCHEDULE										STATE RECORDS PROGRAM									
(35) APPROVAL NUMBER										(36)									
ITEM #	CUBIC FEET	CA, STATE ARCHIVES USE ONLY	TITLE AND DESCRIPTION OF RECORDS (Double spaces between items)				MEDIA	VITAL	RETENTION				DEPT.	SRC	TOTAL	PRA & IPA	REMARKS		
(37)	(38)	(39)	(40)				(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)					
1	1		CHP 25, BUSINESS CARD TEMPLATE (076)				P		*			*					*RETAIN 1 YEAR AFTER BUSINESS CARDS ARE PRINTED, THEN DESTROY.		
2	2		CHP 26, CLASSIFIED DOCUMENT NOTICE (076)				P		*			*					*RETAIN AFTER TRANSMITTAL OF INFORMATION, FILED WITH AND SUBJECT TO RETENTION OF CORRESPONDING RECORD.		
3	10		CHP 29, DISTRIBUTION RECORD (076)				P			1 YR		1 YR					RETAIN 1 YEAR W/ ACCOMPANYING CHP 117 ONCE RECORD IS COMPLETE.		
4	35		CHP 35, FORM COMPLETION/CORRECTION (076)				P		*			*					*RETAIN UNTIL SPECIFIED FORM IS COMPLETED/CORRECTED.		
5	5		CHP 41, SUPPLY REQUEST (076)				P		*+3 YRS			*+3 YRS					*CURRENT YEAR PLUS THREE, THEN DESTROY.		
6	12		CHP 66, FORM/PRINT MATERIAL REQUEST (076)				P		*			*					*LIFE OF FORM; RETAINED IN FORM FOLDER.		
7	2		CHP 67, RECEIPT OF GENERAL ORDER 60.7 POLICY REVIEW (048)				P		*			*					*UNTIL SUPERSEDED (REQUIRED ANNUALLY).		
8	2		CHP 67A, FORMS LOG (076)				P		*			*					*CURRENT YEAR PLUS 2.		
9	1		CHP 117, REPRODUCTION REQUEST (REPRODUCTION UNIT) (076)				P		2 YRS			2 YRS					*LIFE OF FORM OR PUBLICATION/FORM IS NO LONGER IN USE.		
10	10		CHP 117, REPRODUCTION REQUEST (AUTOMATED BUSINESS SOLUTIONS) (076)				P		*			*							
11	2		CHP 236, SPENT BRASS CASINGS RECEIPT (076)				P		3 YRS			3 YRS					**CURRENT YEAR PLUS THREE OR AUDIT PLUS SIX MONTHS, WHICHEVER OCCURS FIRST, UNLESS FILED WITH CHP 36.		
12	4		CHP 268B, CREDIT MEMO-UNCLAIMED PROPERTY (076)				P		*+5 YRS			*+5 YRS					RETAINED FOR 5 YEARS BY BADGE COORDINATOR IN BSS, SPJ.		
13	2		CHP 511, BADGE TRANSMITTAL (076)				P			5 YRS		5 YRS					RETAINED FOR 3 YEARS BY BADGE COORDINATOR IN BSS, SPJ.		
14	1		CHP 512, NAMEPLATE REQUISITION (076)				P			3 YRS		3 YRS					RETAINED FOR 3 YEARS BY BADGE COORDINATOR IN BSS, SPJ.		
15	2		STD. 71, RECORDS TRANSFER LIST (076)				P		*			*					*UNTIL RECORDS ARE DESTROYED.		

STD. 73, RECORDS RETENTION SCHEDULE (continued)

HPM 11.1

ANNEX A

STD. 73, RECORDS RETENTION SCHEDULE *(continued)*

STATE RECORDS PROGRAM	
INSTRUCTIONS	
The California Records and Information Management (CalRIM) Program of the Secretary of State will review schedules for compliance with their Records Retention Handbook, the Records Retention Schedule Guidelines and the Recommended General Records Retention Section from the CalRIM website (www.sos.dgs.ca.gov/archives/calrim). The Chief of State Archives or designated representative in the Secretary of State will review schedules for records worthy of preservation for historical or research purposes. Titles and descriptions of records listed on the schedule must be sufficiently detailed to ensure understanding by persons unfamiliar with the business processes of the submitting department.	
1. Department* to which the schedule belongs to. 2. Appropriate billing code of the department. 3. Page numbers and total pages (e.g., 1 of 3, 2 of 3). 4. Division/branch/section within the department. 5. Address of the division/branch/section. 6. Check box if submitting a new schedule. 7. Check box if submitting a revision to a previous schedule. 8. Check box if amending pages of a "Current" schedule. 9. Each department should establish its own system of numbering schedules. Enter the assigned number on each page. 10. Date schedule was prepared. (Same as Box #21) 11. Total number of pages of the schedule. 12. Total number of cubic feet for all items scheduled (round off to nearest cubic foot). 13. If applicable, enter the schedule number from the previous schedule. 14. If applicable, enter the approval number assigned to the previous schedule. 15. If applicable, enter the CalRIM approval date shown in block 28 of the previous STD. 73 schedule. 16. If applicable, enter the total number of pages included on the previous schedule. 17. Mission/Functional statement for the entity responsible for the records described on the schedule.	18. Signature of manager responsible for the records. 19. Manager's title. 20. Manager's phone number. 21. Date schedule signed by the manager. 22. Signature of the department's Records Management Analyst (RMA) 23. The official state classification of the department's RMA (e.g., Records Management Analyst I, Business Services Officer I, etc). 24. Name of the RMA. 25. RMA's phone number. 26. Date schedule is signed by the RMA. 27. Signature of CalRIM consultant. 28. Approval number assigned by CalRIM consultant. 29. Date schedule signed by CalRIM consultant. 30. This date is computed by adding five years to the date shown in block 29. 31. This block is checked by the California State Archives if the schedule does not contain archive or long term reference records. 32. This block is checked by the California State Archives if the schedule contains material subject to archival review. 33. Signature of Chief of State Archives or designated representative. 34. Date schedule is signed by Archives.

**Department refers to any Agency, Department, Board, Commission, Office or Other*

ANNEX A

STD. 73, RECORDS RETENTION SCHEDULE *(continued)*

STATE OF CALIFORNIA – SECRETARY OF STATE RECORDS RETENTION SCHEDULE STD.73 (REV. 2/2015)		STATE RECORDS PROGRAM
INSTRUCTIONS		
35. CAIRIM Approval number shown in block 28. 36. Page numbers and total pages (e.g., 1 of 3, 2 of 3). 37. Item numbers must be sequentially assigned beginning with number 1 on the second page of the schedule. 38. Cubic feet of records (office and departmental) contained in each item (round off to nearest cubic foot). Leave blank when scheduling electronic/magnetic records. 39. This column is used by the Chief of Archives to designate records which may be of historical value. If the notation "Notify Archives" appears in this column, the Secretary of State's Archive Unit must be notified before the records can be destroyed or transferred (SAM Section 1600). 40. Exact title of the records series must be entered in this column. The same title must also be used on the Records Transfer List, STD. 71, if the records are later transferred to the State Records Center. Do not delete records for a discontinued program until all such records (including any stored at the Records Center) have been destroyed or ownership transferred to another entity. Acronyms must be spelled out in full the first time they are shown on the schedule. 41. Appropriate storage media code for the series of records described: P - paper; M - magnetic; E - electronic; D - diazo microfilm or microfiche (working copies); S - Silver halide microfilm. 42. Enter an "X" if the series of records is considered vital (essential) to department operations. Vital records require special protection from loss through the use of vault storage, microfilm, CD, magnetic tape or similar storage media. Enter the method of protection used in Column 48 (Remarks). 43. Length of time the records series will be retained in the office. For records such as active license files or active tax accounts, enter the word "Active" in this column. Then enter the length of time (if any) the records will be held in office space when they are no longer active. In these cases Column 48 must state the event which terminates the active life of the records. Indeterminate terms such as "indefinite" or "continuous" must be avoided unless specifically stipulated by law or government code.	44. Records removed from office space and retained in less expensive space (such as a basement or other storage area) are considered to be department stored. If the records are stored off-site, provide the location of the records (e.g., SRC, Iron Mountain, etc.) 45. Records should be stored in the State Records Center when they meet the eligibility test of Section 1681 of the State Administrative Manual. The number of years records will remain in the Records Center must be entered in this column. 46. Total number of years from Columns 43, 44, and 45. Include the active periods, if any. 47. Public Records Act (PRA) Exempt and Information Practice Act (IPA) a. Enter an "X" if the record is exempt from disclosure under the provisions of the Public Records Act. (Records so identified must show the authority for such exemption in Column 48.) b. When the record is exempt from disclosure, but the data subject is allowed access under the provisions of the Information Practices Act, enter an "I" 48. Enter information which will explain or clarify treatment of the records, such as: citations from the Public Records Act (Government Code Section 6250 et seq.), Information Practices Act (Civil Code Section 1798 et seq.) or other State or federal statutes, the State Administrative Manual (SAM), State or Federal audit guidelines, Attorney General's instructions, or agency policy statements, etc. Other helpful information includes, but is not limited to: a. Events that trigger purging, updating or transferring records, or that terminate active status. b. Cross references to previous retention schedules under which material is stored at a records center (e.g., See superseded Schedule 58, Item 166, Approval 88-200). c. Type of destruction required when the records have reached the end of their retention period (e.g., confidential witnessed destruction). d. Authority that stipulates the retention period of a record series. e. Authority that exempts disclosure of information to the public.	

**Department refers to any Agency, Department, Board, Commission, Office or Other*

THIS PAGE INTENTIONALLY LEFT BLANK

ANNEX B

STD. 73, RECORDS RETENTION SCHEDULE SUMMARY OF CHANGES

STATE OF CALIFORNIA - SECRETARY OF STATE									
RECORDS RETENTION SUMMARY OF CHANGES									
(REV. 12/2020)									
STATE RECORDS PROGRAM									
(1) APPROVAL NUMBER									
Old #:									
New #:									
(2)									
(3)	(4)	(5)	(6)	(7)	(8)				
PREVIOUS ITEM #	NEW ITEM #	ACTION	TITLE OF RECORD	COMMENTS	MEDIA TYPE				
		CHANGE	DELETE	ADD					
29		X			CHP 29, DISTRIBUTION RECORD (076)	UPDATED RETENTION SCHEDULE TO REFLECT OPI/DEPT. AS BEING THE RETAINER. UPDATED CUBIC FEET INFORMATION.	P		
56			X		CHP 40, ANNUAL PAPERWORK REPORT	FORM NO LONGER IN USE.	P		
57		X			CHP 41, SUPPLY REQUISITION (076)	INCREASE NUMBER OF YEARS RETAINED FROM 1 TO 3.	P		
80-82		X			CHP 60, STAFF SUMMARY STATEMENT (003)	CHANGE OPI FROM 076 TO 003.	P		
226		X			CHP 117, REPRODUCTION REQUEST (076)	UPDATED CUBIC FEET INFORMATION.	P		
226			X		CHP 117C - REPRODUCTION REQUEST, COLOR (076)	DISCONTINUE, FORM NO LONGER IN USE.	P		
331			X		CHP 164, RECURRING REPORTS SCHEDULE	FORM NO LONGER IN USE.	P		
455			X		CHP 235, CROSS REFERENCE	FORM NO LONGER IN USE.	P		
459			X		CHP 238B, DGS SUPPLIES INVENTORY & CONTROL	FORM NO LONGER IN USE.	P		
502		X			CHP 266B, UNCLAIMED PROPERTY CREDIT MEMORANDUM (076)	INCREASE NUMBER OF YEARS RETAINED FROM 3 TO 5.	P		
929		X			CHP 511, BADGE TRANSMITTAL (076)	UPDATED RETENTION SCHEDULE TO REFLECT OPI/DEPT. AS BEING THE RETAINER; INCREASED RETENTION TO MATCH BADGE RETENTION.	P		

ANNEX B

STD. 73, RECORDS RETENTION SCHEDULE SUMMARY OF CHANGES *(continued)*

STATE OF CALIFORNIA - SECRETARY OF STATE RECORDS RETENTION SUMMARY OF CHANGES (REV. 12/2020)					STATE RECORDS PROGRAM	
(1) APPROVAL NUMBER					(2)	
Old #:		New #:			(7) COMMENTS	(8) MEDIA TYPE
(3) PREVIOUS ITEM #	(4) NEW ITEM #	(5) ACTION		(6) TITLE OF RECORD		
		CHANGE	DELETE	ADD		
930		X			CHP 512, NAMEPLATE REQUISITION (076)	P
1035		X			UPDATED RETENTION SCHEDULE TO REFLECT OPI/DEPT. AS BEING THE RETAINER. UPDATED FORM TITLE. *LIFE OF FORM OR WHEN PUBLICATION/FORM IS NO LONGER IN USE, OR SEVEN YEARS FROM END OF FISCAL YEAR IN WHICH ENCUMBRANCE IS LIQUIDATED - WHICHEVER OCCURS FIRST.	P
1036		X			STD. 71, RECORDS TRANSFER LIST (076)	P
1041			X		STD. 116, SUPPLY ORDER (076)	P