

RECORDS RETENTION SCHEDULE

Submit three copies to: Department of General Services, California Records and Information Management, 707 Third St. 2<sup>nd</sup> Fl., W. Sacramento, CA 95605.

A CalRIM Consultant may be reached by phone at (916) 375-4404, by fax at (916) 375-4408 or by email at CalRIM@dgs.ca.gov

DEPARTMENT, BOARD OR COMMISSION Department of General Services	(2) AGENCY BILLING CODE 030670	(3) Page 1 of 7
DIVISION/ BRANCH/ SECTION Division of the State Architect - Headquarters Office	(5) ADDRESS 1102 Q Street, Suite 5200 Sacramento, CA 95811	

CHECK THE APPROPRIATE BOX

- New schedule of records that have never been scheduled. [Complete boxes (9) - (12)]
- Revising a previous schedule. [Complete boxes (13) - (16)] (A new approval number will be assigned.)
- Amending some pages of a previous schedule. [Complete boxes (13) - (16)] (The original approval number will remain in effect.)

SCHEDULE RETENTION (If applicable)	(9) SCHEDULE NUMBER 501-2	(10) SCHEDULE DATE 9/21/2010	(11) NUMBER OF PAGES 7	(12) CUBIC FEET (Total Schedule) 496.08
ADJACENT SCHEDULE RETENTION (If applicable)	(13) SCHEDULE NUMBER 501-1 (Expired 8/31/10)	(14) APPROVAL NUMBER 05-132	(15) APPROVAL DATE (S) 8/31/2010	(16) PAGE NUMBER(S) REVISED All Pages

MISSION/FUNCTIONAL STATEMENT :

Division of the State Architect provides design and construction oversight for K-12 schools, community colleges, and essential services buildings; and develops and maintains accessibility standards and codes utilized in public and private buildings throughout the State of California.

I - AGENCY STATEMENTS

I, 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 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 retention is not currently provided but plans are underway, the details of such plans are shown in Column 45, Remarks.

SIGNATURE - MANAGER RESPONSIBLE FOR THE RECORDS <i>[Signature]</i>	(19) TITLE Manager, Contracts, Business Services, & Academy	(20) PHONE NUMBER (916) 324-5964	(21) DATE SIGNED 09/29/10
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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.

SIGNATURE - RECORDS MGMT. ANALYST <i>[Signature]</i>	(23) CLASSIFICATION Business Services Analyst	(24) NAME (Printed or Typed) Kathy Kinman	(25) PHONE NUMBER (916) 327-3891	(26) DATE SIGNED 9/29/10
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II - DEPARTMENT OF GENERAL SERVICES APPROVAL (Per Government Code Section 14755)

SIGNATURE - CalRIM CONSULTANT <i>[Signature]</i>	(28) APPROVAL NUMBER 11-008	(29) DATE SIGNED 2/03/2011	(30) EXPIRATION DATE 2/03/2016
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III - ARCHIVAL SELECTION (Per Government Code Section 14755)

ATTACHED RECORDS RETENTION SCHEDULE:

- Contains no material subject to further review by the California State Archives
- 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.)

SIGNATURE - CHIEF OF ARCHIVES OR DESIGNATED REPRESENTATIVE <i>[Signature]</i>	(34) DATE SIGNED Feb. 14, 2011
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Key 30494

M	CUBIC FEET *	CA. STATE ARCHIVES USE ONLY	TITLE AND DESCRIPTION OF RECORDS <i>(Double spaces between items)</i>	MEDIA	VITAL	RETENTION				PRA (Exempt) & IPA (47)	REMARKS
						OFFICE	DEPT.	SRC	TOTAL		
7)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)

<b>ADMINISTRATIVE</b>											
<b>Executive Office:</b>											
1	10.375	NOTIFY ARCHIVES	<b>General Correspondence</b> – Miscellaneous correspondence files by subject and date order.	P		Current + 4 yrs				Current + 4 yrs	
2	.85	NOTIFY ARCHIVES	<b>Meeting Minutes</b> – Minutes of Executive Team meetings, Advisory Board annual meeting, Operations Branch monthly managers meetings, and various Executive Office meetings	P/E		Current +4 yrs				Current +4 yrs	
3	.85		<b>Reading Files</b> – Various Executive Office documents including correspondence, meeting minutes, travel expense claims.	P/E		Current +4 yrs				Current +4 yrs	
<b>Contracts and Business Services:</b>											
4	5.0		<b>Records Management</b> –STD Form 70 – Records Inventory Worksheet, STD Form 71 – Records Transfer List, STD Form 73 – Records Retention Schedule Authorization for Records Destruction	P/E		Current +5 yrs				Current +5 yrs	Retain as current until the next inventory and schedule is complete.
5	49.5		<b>Plan Review and Program Contracts</b>	P/E		Current +3 yrs	4 yrs			Current +7 yrs	Effective FY 2010/2011 DSA will store electronic files for all contracts and purchase documents. Paper records will no longer be kept.
6	10.75		<b>Purchase/Service Orders</b>	P/E		Current +3 yrs	4 yrs			Current +7 yrs	
7	6.75		<b>CAL-Card Purchase Files</b> – Statements, invoices, back-up purchase documents, payment approval, and Bank Reports for all DSA cardholders.	P		Current +3 yrs	4 yrs			Current + 7 yrs	
8	2.25		<b>Contract Request for Qualifications</b> – Complete RFQ file with qualifications submitted by firms and contract documents.	P/E		Current +3 yrs	4 yrs			Current +7 yrs	
9	1.0		<b>General Correspondence</b> – Program and Policy correspondence/information (alpha by topic)	P		7 yrs				7 yrs	
10	.375		<b>Supervisory Drop Files</b> – Employee information	P		Active				Active	
11	1.125		<b>Business Services Tracking Logs</b> – Public Records Act Requests, Blue cards, Telephone Services, Property Control.	P		Current +4 yrs				Current + 4 yrs	
12	3.0		<b>Facilities</b> – Building Maintenance, Security Cards, Leasing, Emergency Plan, escape route.	P/E		Current				Current	
13	3.0		<b>Subject Files</b> – Supervisors on going work projects	P		Current				Current	

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			<b>Fiscal and Legislative:</b>								
14	1.50		<b>Report of Collections</b> - Daily report printout with copies of checks and documentation for all monies received by DSA for School District Projects.	P		20 yrs		80 yrs or life of bldg	100 yrs or life of bldg.		
15	1.80		<b>Report of Deposits</b> - Deposit receipts for all monies deposited for School District Projects.	P		20 yrs		80 yrs or life of bldg	100 yrs or life of bldg.		
16	14.0		<b>Invoice Record</b> - Records of accounts paid from invoices received.	P		Current + 3 yrs		4 yrs	Current +7 yrs		
17	2.25		<b>Invoices</b> - Invoices received.	P		Current +4 yrs			Current + 4 yrs		
18	1.33		<b>Project Cards</b> - Chronological log of DSA project activity, used as a cross reference (index card format).	P/E		100 yrs or life of bldg			100 yrs or life of bldg.		Paper records until 1986; electronic records 1987 to present.
19	1.125		<b>Utility invoices</b> - All invoices from utilities (phone, cell phone, car rental, etc.)	P		Current + 4 yrs			Current + 4 yrs		
20	8.0		<b>Financial Reports</b> - Monthly Budget, I & E Forecasters, Salary, Overtime, Contract Encumbrances, Planning Estimates, Dept. CVC & CAS, Schedule 7 & 8, Position Tracker, and Interfund Invoices.	P		Current + 4 yrs			Current + 4 yrs		
21	4.5		<b>Travel and Transportation</b> - Travel Expense Claims	P		Current + 4 yrs			Current + 4 yrs		
22	3.0	<b>NOTIFY ARCHIVES</b>	<b>Legislative</b> - Legislative bill analysis	p		Current +2 yrs.			Current + 2 yrs.		
			<b>Human Resources:</b>								
23	6.75		<b>Personnel Files</b> - Personnel files generated by HR work product used for convenience as the need arises. These files are copies of the originals forwarded to DGS.	P		Active			Active		Active until employee is transferred or retired.
24	12.75		<b>Request for Personnel Action Files</b> - Contains detailed position information, duty statement, org. chart, position justification, job opportunity bulletin, hiring notes, etc. These files are copies of the originals forwarded to DGS.	P		Active + 2 yrs			Active + 2 yrs		
25	1.5		<b>Recruitment</b> - Documents and receipts for recruitment advertisements, sign-up at career fairs, exhibitor space - all used for recruitment purposes.	P		Active + 2 yrs			Active + 2 yrs		

1-000

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						OFFICE (43)	DEPT. (44)	SRC (45)	TOTAL (46)		
7)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)
26	9.75		<b>Training Files</b> - Contains detailed training information for each employee. Electronic history of completed training ins maintained in DGS ABMS database.	P/E		Active			Active		Active until employee is transferred or retired.
27	4.5		<b>Applications</b> - Employment applications resulting from recruitment efforts.	P		Current + 2 yrs			Current + 2 yrs		
			<b>Information Technology</b>								
28	0		<b>E-Tracker Database</b> - A database of DSA plan review projects containing work product activity resulting from various DSA programs	E		100 yrs or life of bldg			100 yrs or life of bldg		
			<b>PROGRAMS</b>								
			<b>Architectural Code and Building Systems Division:</b>								
29	.50	NOTIFY ARCHIVES	<b>Super Partnering Forum/Rulemaking</b> - Committee meeting agendas, minutes, attachments with rulemaking annotations and audio tapes of the meetings.	P		Current +10 yrs			Current +10 yrs		Current records are from 2003 through 2005. No longer generating records.
30	2.0	NOTIFY ARCHIVES	<b>Policy Executive Committee</b> - Committee meeting agendas, minutes, and audio tapes of the meetings.	P		Current +10 yrs			Current +10 yrs		Current records are from 2001 to 2005. No longer generating records.
31	5.0	NOTIFY ARCHIVES	<b>DSA Advisory Board</b> - Committee meeting agendas, minutes, attachments, and CD's.	P/CD		Current +10 yrs			Current +10 yrs		
32	.50		<b>Water Heater Bracing Certification</b> - Applications, valve test reports, product information and physical samples, lab certification and correspondence.	P/E		Current +10 yrs			Current +10 yrs		
33	3.5	NOTIFY ARCHIVES	<b>California Historical Building Code</b> - Code updates and meeting records.	P		Current +10 yrs			Current +10 yrs		
			<b>Inspector Training &amp; Certification:</b>								
34	6.75		<b>Inspector Applications</b> - Individual inspector qualification information (Form DSA INSP 1).	P		Active + 4 yrs			Active + 4 yrs		
35	6.75		<b>Exam Results</b> - Results from the exams, including scantron and exam question analysis.	P		Active + 4 yrs			Active + 4 yrs		
36	3.0		<b>Exam Results Notification</b> - Correspondence (from letter) notifying the applicant of the exam results.	P		Active + 4 yrs			Active + 4 yrs		

1-008

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						OFFICE (43)	DEPT. (44)	SRC (45)	TOTAL (46)		
7)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)
37	6.5		Exam Process Documentation – Phone logs, correspondence/ confirmation letters, facility agreements, class registration, travel arrangements and charges.	P/E		Active + 4 yrs			Active + 4 yrs		
38	3.25		Special Inspector Applications - Individual inspector qualification information for "special inspector" certification.	P		Active +8 yrs			Active +8 yrs		
39	9.5		Plan Sets - Used in examinations.	P		Active +4 yrs			Active +4 yrs		
			<b>Certified Access Specialist Program (CASp):</b>								
40	.5		CASp Applications – Individual submitted applications.	P		Active + 4 yrs			Active + 4 yrs		
41	.5		Exam Results – Results from the exams, including scantron and exam question analysis.	P		Active + 4 yrs			Active + 4 yrs		
42	.5		Exam Results Notification - Correspondence notifying the applicant of the exam results.	P		Active +4 yrs			Active +4 yrs		
43	1.5		Exam Process Documentation – phone logs, correspondence, class registration, certification, facility agreements, travel arrangements and charges.	P		Active +4 yrs			Active +4 yrs		
44	.750		CASp Contract - Exam Development and Maintenance, copy of contract and background notes for development	P		Active			Active		
45	.750		CASp Admin Documents – 2009 Audit and responses, BCP background information, misc correspondence on candidate issues, Elavon Contract information and charges, program summary.	P		Active			Active		
			<b>Engineering Code &amp; Building Standards:</b>								
46	30.0	NOTIFY ARCHIVES	Structural Correspondence – Paper and electronic correspondence regarding various structural issues concerning school designs. Includes: technical papers, meeting notes, technical subject letters, memos, and related material sent or received by staff, managers, school district officials, and professional colleagues.	P/E		Current +20 yrs			Current +20 yrs		
47	7.0	NOTIFY ARCHIVES	USPI (Uniform Standards & Procedures Initiative – Drafts and associated communications regarding interpretations of regulations (including IRs, the IR Manual), DSA Bulletins, Policies, Procedures and forms.	P/E		Current +20 yrs			Current +20 yrs		

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43	5.0	<b>NOTIFY ARCHIVES</b>	<b>Product Acceptance Files</b> – Correspondence, test reports, etc. for acceptance of products implemented in construction of California schools.	P/E		Active +20 yrs			Active +20 yrs		Program ended in 2008 per IR A-5. Retain for 20-years from the end of the FY in which the applications were received. Those records not retained by archives will be scheduled for destruction.
49	48.0		<b>LEA (Laboratory Evaluation &amp; Acceptance Program)</b> – Applications, evaluations, correspondence and certifications related to material testing facilities.	P/E		Active +10 yrs			Active +10 yrs		
50	.5		<b>NFPA vs. ICC Study</b> – ICC model building code evaluation. Includes report of code comparison and stakeholder comments. Purpose was to provide recommendation to the Building Standards Commission as to DSA preference of Model Code.	P/E		Current +20 yrs			Current +20 yrs		
51	0		<b>Code Development and Applications-FLS</b> – Fire and Life Safety meeting minutes and agendas, proposed code language, and stakeholder outreach on code questions.	E		Current +10 yrs			Current +10 yrs.		
52	3.0		<b>FLS Code Questions</b> – Answers to stakeholder's questions regarding code application to specific projects.	P		Current +10 yrs			Current +10 yrs	Program went fully electronic in 2006	
53	1.0		<b>FLS RIP (Rapid Interpretations Program) &amp; CAP (Code Appeals Process) Files</b> – Paperwork generated to evaluate and settle disputes regarding enforcement of Fire and Life Safety provisions of the Code.	P/E		Current +10 yrs			Current +10 yrs.		
54	10.0		<b>AB 300 Seismic Safety Inventory</b> – All correspondence with school districts, forms, other supporting documents, and all analysis documentation.	P/E		Current +10 yrs			Current +10 yrs.		
			<b>Access Compliance:</b>								
55	29.75	<b>NOTIFY ARCHIVES</b>	<b>Title 24 Rulemaking</b> – Initiating proposals, research, rulemaking development, public comments, and rulemaking files.	P		Perm			Perm.		Must be retained permanently.
56	1.0		<b>Access Compliance, General Correspondence</b> – Stakeholder comments and DSA responses.	P		Current +20 yrs			Current +20 yrs		Retain for 20-years from the end of the FY in which the file was created. Those records not retained by archives will be scheduled for destruction.
57	2.0		<b>Access Compliance, Supervisory Files</b> – Employee information.	P		Active			Active		
			<b>Academy:</b>								
58	0		<b>CalCard</b> – Statements, invoices, backup information, and DGS payment approval.	E		Current +3 yrs			Current +3 yrs		

11-008

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7)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)
59	0		<p><b>Program Files</b> – Continuing education units, course material development, customer communication, evaluations, facilities, fiscal, fiscal, inspector program, instructors, marketing, online registration system, printing, registration, retainer tracking, travel reservations and website updates.</p> <p><b>High Performance Section:</b></p>	E		Current +5 yrs			Current +5 yrs		
60	67.0		<b>Building Energy Efficiency Grant Archive Files</b> – Title 24 and Part 6 documentation	P		100 yrs or life of bldg			100 yrs or life of bldg		
61	44.0		<b>High Performance Initiative Grant (HPI) working files</b> – Plan sets, project manuals, scorecards, and HPI binders.	P		100 yrs or life of bldg			100 yrs or life of bldg		
62	8.0		<b>High Performance Initiative Grant Archive Files</b> – HPI binders and Title 24 documentation.	P		100 yrs or life of bldg			100 yrs or life of bldg		
63	22.0		<b>Energy Pre-check Working Files</b> – Plan sets and Title 24, Part 6 documentation.	P		100 yrs or life of bldg			100 yrs or life of bldg		
64	2.0		<b>Energy Pre-check Archive Files</b> – Plans sets and Title 24, Part 6 documentation.	P		100 yrs or life of bldg			100 yrs or life of bldg		
65	1.0		<b>Gas Shutoff Valve Certification</b> – Applications, valve test reports, product information, lab certification, and correspondence.	P		20 yrs			20 yrs		

Provide total of office and departmental