6STD.73 (REV. 6/2002)

RECORDS RETENTION SCHEDULE

GC 28340

SATE OF CALIFORNIA – DEPARTMENT OF GENERALSERVICES
STATE RECORDS PROGRAM

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

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

(1) DEPARTMENT, BOARD OR COMMISSION	(2) AGENCY BILLING CODE	(3)
Department of General Services	22201	PAGE One OF Four

(4) DIVISION/ BRANCH/ SECTION	(5) ADDRESS
RESD/Asset Management Branch/Asset Enhancement Unit	707 Third Street, Suite 6-130, West Sacramento, CA 95605

CHECK THE APPROPRIATE BOX

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

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

(8) ☐ Amending some pages of a previous schedule. [*Complete boxes (13) – (16)] (The original approval number will remain in effect.)*

NEW SCHEDULE INFORMATION (*If applicable*)	(9) SCHEDULE NUMBER AMB/AEU - 001	(10) SCHEDULE DATE March 17,2008	(11)NUMBER OF PAGES Four	(12) CUBIC FEET (*Total Schedule* 101 Cubic Feet
PREVIOUS SCHEDULE INFORMATION (*If applicable*)	(13) SCHEDULE NUMBER None	(14) APPROVAL NUMBER	(15) APPROVAL DATE	(16) PAGE NUMBER(S) REVISED - 1

(17) MISSION/FUNCTIONAL STATEMENT :

We are a specialized real estate organization dedicated to the selling of all types of Surplus State Real Estate including individual improved and unimproved sites and also larger State owned Real Properties that have a potential for enhancement to a higher use and price in the market place.

PART I – AGENCY STATEMENTS

As the program manager (*or person authorized to sign for the program manager*) directly responsible for the records listed on this records retention schedule, I certify that all records listed are necessary and that each retention period is correct. ***For revisions, all items on the previous schedule are included or accounted for on the recapitulation. Vital records identified by this schedule are protected. If protection is not currently provided but plans are underway, the details of such plans are shown in Column 45, Remarks.***

(18) SIGNATURE - MANAGER RESPONSIBLE FOR THE RECORDS	(19) TITLE acting ass. chief	(20) PHONE NUMBER	(21) DATE SIGNED
Robert W. McKenna	Senior Real Estate Officer	376-1833 (916) 376-1814	03/19/2008

In accordance with Government Code 14755, approval of this Records Retention Schedule by the Department of General Services is hereby requested. Retention periods shown have been established in accordance with the criteria set forth by Section 1667 of the State Administrative Manual.

(22) SIGNATURE- RECORDS MGMT. ANALYST	(23) CLASSIFICATION	(24) NAME (*Printed or Typed*)	(25) PHONE NUMBER	(26) DATE SIGNED
Sharon O'Keefe	Staff Sew Analyst	Sharon O'Keefe	375-4685	3-19-08

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

(27) SIGNATURE –CalRIM CONSULTANT	(28) APPROVAL NUMBER	(29) DATE SIGNED	(30) EXPIRATION DATE
Jack E. Fort	08-081	3/25/2008	3/25/2013

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

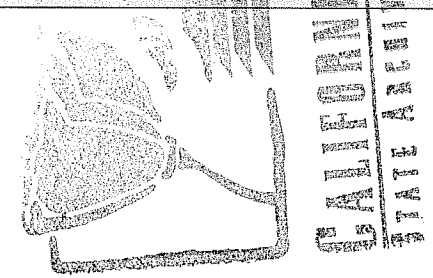
THE ATTACHED RECORDS RETENTION SCHEDULE:

(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
Sydney Barley, Archivist	April 4, 2008

FOR ARCHIVES' STAMP



CALIFORNIA STATE ARCHIVES

(35) CalRIM APPROVAL NUMBER 08-081

ITEM # (37)	CUBIC FEET * (38)	CA. STATE ARCHIVES USE ONLY (39)	TITLE AND DESCRIPTION OF RECORDS (Double spaces between items) (40)	MEDIA (41)	VITAL (42)	RETENTION OFFICE (43)	RETENTION DEPT. (44)	RETENTION SRC (45)	RETENTION TOTAL (46)	PRA (Exempt) & IPA (47)	REMARKS (48)
1.	6		SURPLUS REAL PROPERTY UNIT GENERAL OFFICE FILES These are general office operation files. They include: General correspondence; budgeting and finance files, records and reports; policy and procedure memos, and records and contract files, billing and disbursement records.	p		Active +1 yr	0	5 yrs	Active+ 6 yrs		Used for Administration, studies, background information and record keeping by unit staff. Such files are generally in possession of the Unit Staff Services Analyst for maintenance and referral. Files are purged as related projects are closed.
2.	12		SURPLUS REAL PROPERTY UNIT GENERAL ENHANCEMENT FILES These are general files for properties that may have future enhancement potential, but do not have full active project status. They contain many descriptive property elements such as: preliminary site data and studies, physical descriptions, plans, maps, drawings, aerials, photographs, and other background information.	P		Active +1 yr	0	9 yrs	Active+ 10 yrs		Files are maintained in Unit storage. The material does have potential for use if a particular property is designated as surplus in the future. Files should be purged after 10 years.
3.	8		SURPLUS REAL PROPERTY UNIT ACTIVE NON-ENHANCEMENT PROJECT FILES These are working files for properties that have been declared surplus by the Legislature. They contain general office correspondence, legislation, policies of title insurance, maps and drawings, appraisal requests and reports, sales brochures and agreements, Escrow Instructions, copies of Grants of Easements, of Grant, Quitclaim and Trust Deeds and Notes, billing and collection forms, and	P		Active +1 yr	0	5 yrs	Active+ 6 yrs	X	Confidential only until Project closes (Exempt from disclosure pursuant to Government Code, Section 6250, et seq and/ or other applicable law). Must be kept for public review for a minimum of five years after the final payment has been made. Project file is closed when property is sold and/or if not a reversionary or term sale.

(35) CalRIM APPROVAL NUMBER

08-081

ITEM # (37)	CUBIC FEET * (38)	CA. STATE ARCHIVES USE ONLY (39)	TITLE AND DESCRIPTION OF RECORDS (Double spaces between items) (40)	MEDIA (41)	VITAL (42)	RETENTION OFFICE (43)	RETENTION DEPT. (44)	RETENTION SRC (45)	RETENTION TOTAL (46)	PRA (Exempt) & IPA (47)	REMARKS (48)
			State Property inventory forms.								
4.	59		<u>SURPLUS REAL PROPERTY UNIT ACTIVE ENHANCEMENT PROJECT FILES</u> These are working files for properties that have been declared surplus by the Legislature and are in the process of enhancement to a higher market value category before sale. Files contain: correspondence, studies and reports, meeting presentations, mailing lists, budget estimates and change proposals, unit consulting agreements, preliminary site and utilization assessments. Developer correspondence, utility information, maps, drawings photographs, preliminary title reports, rights of entry, advertising, historic resources, consultant contracts and correspondence, archaeological data. Purchase offers and sale agreements, escrow agreements and closing files, copies of deeds and other title transfer agreements. Environmental Impact investigations, preliminary and draft Environmental Impact Reports (EIR's), draft and	P		Active +1 yr	0	29 yrs	Active+ 30 yrs	X	Confidential only until Project closes (Exempt from disclosure pursuant to Government Code, Section 6250, et seq and/or other applicable law). Mus be kept for public review for a minimum of five years after final payment has been made. Project file is closed when the property is sold and/or is not a reversionary or term sale.

(35) CalRIM APPROVAL NUMBER 08-081

ITEM # (37)	CUBIC FEET * (38)	CA. STATE ARCHIVES USE ONLY (39)	TITLE AND DESCRIPTION OF RECORDS (Double spaces between items) (40)	MEDIA (41)	VITAL (42)	RETENTION OFFICE (43)	RETENTION DEPT. (44)	RETENTION SRC (45)	RETENTION TOTAL (46)	PRA (Exempt) & IPA (47)	REMARKS (48)
			supplemental EIR's, final EIR Reports. Preliminary site assessments, market analysis and reports, general plan data and amendments, zoning data, specific plans, development proposals and agreements. Hazardous material investigations, voluntary clean-up plans and agreements, implementation agreements and reports, final clean-up approvals.								
5.	15		<u>SURPLUS REAL PROPERTY UNIT ENHANCEMENT PLANS, DRAWINGS AND MAPS</u> These are mostly rolled with some flat enlarged drawings, renditions and photographs for various property enhancement projects	P		Active+ 1 yr	0	5 yrs	Active+ 6 yrs		These should be retained while the project is active, but should be purged when the project is closed.
6.	1		<u>SURPLUS REAL PROPERTY UNIT RECORDS MAINTENANCE FILES</u> STD Form 70 Records Inventory Worksheet, STD Form 71 Records Transfer List, STD Form 73 Records Retention Schedule	P		Current			Current		These records are to be retained until next inventory or when they are no longer needed for reference or analysis.

<u>TOTAL CUBIC FEET = 101</u>

* Provide Total of office and departmental

INSTRUCTIONS FOR FILLING OUT MS Word ELECTRONIC FORM

The California Records and Information Management (CalRIM) Program of the Department of General Services will review schedules for compliance with their Records Retention Handbook, Records Retention Schedule Guidelines and the records retention section of the California Acquisition Manual. The Chief of State Archives in the Office of the Secretary of State will review schedules for records series worthy of preservation for historical or research purposes. Titles, and descriptions of records listed on the schedule must be sufficiently detailed to insure understanding by persons unfamiliar with the business process of the department. For additional information concerning the scheduling of records refer to the aforementioned publications available on the DGS website (www.dgs.ca.gov).

* The attached form is formatted as a table; therefore, to add line items after page two, add additional rows to make formatting easier and consistent.

1. Department that the schedule belongs to.
2. Enter the appropriate billing code of the department.
3. Enter 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. Double Click on the box if submitting a new schedule.
7. Double Click on the box if submitting a revision to previous schedule.
8. Double Click on the box if amending pages of a previous schedule.
9. Each department should establish its own system of numbering schedules. Enter the assigned number on each page.
10. Enter the date schedule was prepared.
11. Enter total number of pages of the schedule.
12. Enter the 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 schedule on STD 73 Rev.6-02. (Block 22 if referring to STD 72 Rev. 2-96 on the previous schedule.
16. If applicable, enter the total number of pages included on the previous schedule.
17. Enter the 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. Enter the official state classification of the department's RMA, i.e., 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 Archives or designated representative.
34. Date schedule is signed by Archives.
35. Enter the CalRIM Approval number shown in block 28.
36. Page numbers will automatically be entered in this field starting at page 2
37. Item numbers must be sequentially assigned beginning with number 1 on the second page of the schedule

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38. Enter 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 1673.1).

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. Enter the appropriate storage media code for the series of records described; P-- paper (except for computer printouts); C -- computer printouts; M—magnetic or electronic (computer hard drives, computer tapes or disks, or word processing discs); D – diazo microfilm or microfiche (working copies); S – Silver halide microfilm; RM – Removable Media consisting of ZIP, JAZ , etc.; CD – Compact Disk, etc.; OD – Optical Disk; RAID (redundant array of independent disks).

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. Enter the 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. Intermediate 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.

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. Enter the total number of years from Columns 43, 44, and 45. Include the active periods, if any.

47. PRA (Exempt) and 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), California Acquisition Manual (CAM), 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, such as "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 (such as, confidential witnessed destruction).
    d. Authority that stipulates the retention period of a record series.
    e. Authority that exempts disclosure of information to the public.

Prepare three copies of the schedule and forward all to the California Records and Information Management Program (CalRIM), 707 3rd Street, 2nd Floor, West Sacramento, California 95605, interagency mailing address is Z-1.

This form is provided in MS Word for your convenience. If the required fields or format are altered in any way, CalRIM will not accept the form.