

December 20, 2019



Taurie Randermann
Manager Governmental Affairs & Communications
Texas Medical Board
333 Guadalupe Ste 601
Austin, TX 78701

Dear Ms. Randermann,

Your agency's records retention schedule is approved for use as of **12/18/2019**, and may be accessed on our website at <https://www.tsl.texas.gov/slrn/state/schedules>. Please ensure that all old copies of the schedule are superseded with this certified copy.

Lorenzo de Zavala
State Archives and
Library Building

1201 Brazos Street
Austin, Texas
78701

P.O. Box 12927
Austin, Texas
78711-2927

www.tsl.texas.gov

Commission Chairman
Michael C. Waters

Members

David C. Garza
F. Lynwood Givens
Larry G. Holt
Arthur T. Mann
Darryl Tocker
Martha Wong

Director and Librarian
Mark Smith

Assistant State Librarian
Gloria Meraz

This approved retention schedule provides you with continuing authorization to dispose of agency records according to its terms. Please note that state rules (13 TAC §6.8) require documentation of the final disposition of records by your agency. This requirement may be met by maintaining a disposition log or other evidence of the records series titles, dates covered, volume, and date of disposition. The destruction of any records of your agency not on your schedule requires special authorization from us.

Each agency schedule must be reviewed, updated and submitted for recertification annually for the first two years after the initial approval of the schedule and every five years thereafter. The deadline for submission of your schedule for its next recertification is the last working day of **December 2024**

During a certification period, changes may need to be made to your schedule. State rules (13 TAC §6.4) also allow for the submission of amendments to the retention schedule as needed to keep the information in the schedule current. If you are not familiar with the amendment process, or if you have any other questions, please contact the Government Information Analyst assigned to your agency:

Bonnie Zuber
512-463-0188
bzuber@tsl.texas.gov

Your efforts in developing a records retention schedule are appreciated. It not only helps to ensure the integrity of your recordkeeping practices, but it is also essential to the success of your records management program.

Sincerely,

A handwritten signature in black ink, appearing to read "Craig Kelso".

Craig Kelso
Director and State Records Administrator

cc: Agency head

TSLAC

*Preserving yesterday
Informing today
Inspiring tomorrow*



STATE OF TEXAS

Records Retention Schedule Certification

SLR 105C

Form SLR 105 or SLR 122 must accompany all submissions of this form.

Section 1. Agency Information

(Submitting agencies complete this section only)

Agency Code 503

Agency Name Texas Medical Board

(Check one)

- Initial Certification - Form SLR 105
Recertification - Form SLR 105
Amendment - Form SLR 122

I hereby certify that this records retention schedule was prepared in accordance with Texas Government Code, Chapter 441, Subchapter L.

(Check one)

- Agency Head
Records Management Officer

Signature Megan Goode

Name (Print or type) Megan Goode

Date October 31, 2018

Section 2. Approvals

(Submitting agencies do not write in this section)

State Auditor's Office

(For the exclusive use of the State Auditor's Office)

Signature

Name (Print or type)

Date

Not Required at This Time

Texas State Library and Archives Commission

(For the exclusive use of the State Library and Archives Commission)

Signature Gloria Meraz

Name (Print or type) Gloria Meraz

Date 12/18/19

Cert/Recert No. 9 Amendment No.

CAUTION

A state record whose retention period has expired may not be destroyed if any litigation, claim, negotiation, audit, public information request, administrative review, or other action involving the record is initiated; its destruction shall not occur until the completion of the action and the resolution of all issues that arise from it.

A state record whose retention period expires during any litigation, claim, negotiation, audit, public information request, administrative review, or other action involving the record may not be destroyed until the completion of the action and the resolution of all issues that arise from it.





STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

Retention Codes (field 7)

AC – See field 9 for specific records series definition
 AV – Administratively valuable
 CE – Calendar year end
 FE – Fiscal year end
 LA – Life of Asset
 PM – Permanent
 US – Until Superseded

Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
 R/O – Review by State/University Archivist

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| 3. Agency Item No. | 4. Record Series Item No. | 5. Record Series Title | 6. Description | 7. Ret. Code | 8. Retention Period | | | 9. AC Definition | 10. | 11. Remarks | 12. Legal Citations |
| | | | | | Years | Mont | Days | | | | |
| Category 1 - Administrative Records / Section 1.1 General | | | | | | | | | | | |
| CA.003 | 1.1.002 | Audits | Audits and reviews performed by or on behalf of an agency, including working papers that support the audit. Also includes audits performed on the agency by other entities or on the agency by internal auditors. | AC | 7 | | | AC = Publication or release of final audit findings. | | The State Auditor's Office retains any copies of its audits performed on Texas state agencies. Also includes Americans with Disabilities (ADA) compliance records. <i>Note 2: Agency will ensure that all audit requirements have been fulfilled prior to final disposition.</i> | ADA - 28 CFR 35.105(c). |
| FI.002 | 1.1.004 | Legislative Appropriation Request | Including any supporting documentation created and/or used to justify and support legislative appropriations by an agency. | AC | 6 | | | AC = September 1 of odd-numbered calendar years. | A | Sending copies to Texas State Publications Depository Program, Texas State Library and Archives Commission (TSLAC) satisfies the archival requirement. | |
| CA.016 | 1.1.006 | Complaint Records | Complaints received by an agency from the public concerning the agency and records pertaining to the resolution of the complaint. | AC | 2 | | | AC = Final disposition of the complaint. | | CAUTION: If a complaint becomes the subject of litigation, it must be included in and is subject to the minimum retention period of item number 1.1.048. | |



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| CA.001 | 1.1.007 | Correspondence -- Administrative | Incoming/outgoing and internal correspondence pertaining to the formulation, planning, implementation, modification, or redefinition of the programs, services, or projects of an agency and the administrative regulations, policies, and procedures that govern them. | | 4 | | | | R | <p>Vital Record</p> <p><i>Note 1: Agency will submit records for archival review when the retention period is met.</i></p> <p>ARCHIVES NOTE: Archival review only required of administrative correspondence of executive staff, board members, division directors, and program heads. Contact State Archives when retention period is met.</p> <p>CAUTION: This records series and item number 1.1.008 should be used only for correspondence that is not included in or directly related to another records series on the agency's approved schedule. For example, a memorandum that documents an appropriations request must be retained for the minimum retention period prescribed by item number 1.1.004; a letter concerning an audit for that prescribed by item number 1.1.002, etc. SEE ALSO item number 1.1.011.</p> | |
| CA.002 | 1.1.008 | Correspondence -- General | Non-administrative incoming/outgoing and internal correspondence, in any media, pertaining to or arising from the routine operations of the policies, programs, services, or projects of an agency. | | 2 | | | | | See CAUTION under 1.1.007. Note: Correspondence directly related to a complaint, investigation, litigation, or a license or permit application is filed under the appropriate specific records series. | |
| GC.014 | 1.1.008 | Continuance Correspondence | Requests from a party to an informal hearing for a continuance and responses granting or denying the request. | | 2 | | | | | A copy of the response is sent to the Litigation Department and may, but is not required to, be included as part of the Litigation file. | |



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| CA.018 | 1.1.013 | Calendars, Appointment and Itinerary Records | Calendars, appointment books or programs and scheduling, or itinerary records, purchased with state funds or maintained by staff during business hours that document appointments, itineraries, and other activities of agency officials or employees. | CE | 1 | | | | R | ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of the executive director require archival review. | |
| GC.003 | 1.1.014 | Legal Opinions and Advice | From the agency legal counsel or the Attorney General, including any requests eliciting the opinions. | AV | | | | | R | <i>Note 1: Agency will submit records for archival review when the retention period is met.</i> Applies only if opinion was requested by this agency. CAUTION: Does not include legal opinions or advice rendered on a matter in litigation or with regard to pending litigation. SEE item number 1.1.048 | |
| PI.001 | 1.1.019 | Public Relations Records | News, press releases, or any public relations files maintained or issued by an agency. Includes print, electronic, audio, and audiovisual records. | | 10 | | | | R | <i>Note 1: Agency will submit records for archival review when the retention period is met.</i> | |
| PI.002 | 1.1.020 | Public Information Requests - Not Exempted | Includes all correspondence and documentation relating to requests for records that are furnished to the public under the Public Information Act (Chapter 552, Government Code). | AC | 1 | | | AC = Date request fulfilled | | | Government Code, Chapter 552 |
| PI.003 | 1.1.021 | Public Information Requests - Exempted | Includes all correspondence and documentation relating to requests for records that are exempt under the Public Information Act (Chapter 552, Government Code) | AC | 2 | | | AC= Date of notification that records are exempt. | | | Government Code, Chapter 552 |
| PI.005 | | Public Information Requests Database | Database of public information (open records) requests that are fulfilled under PI.002, PI.003 or PI.007. | PM | | | | | | | |



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| PI.007 | | Legislative Information Requests | Includes all correspondence and non-public documentation provided to a legislator and/or legislative committee as authorized by the Medical Practice Act. | FE | 1 | | | | | FE = Fiscal year in which information is provided and follow-up questions are answered. Formerly AIN. CA.005 | Occupations Code, §154.055 |
| CA.004 | 1.1.023 | Organization Chart | | US | | | | | A | A Fulfilled through submission as part of the Strategic Plan (See 1.1.005) and Legislative Appropriations Request (See 1.1.004). | |
| EX/PHP.001 | 1.1.026 | Texas Register Submissions - Meeting Notices | Copies of all open meetings notices including any other documents required by law to be submitted to the Texas Register. | AC | 1 | | | AC = Date of publication in the Register. | | EX = submits open meetings notices, excluding PHP open meeting notices. PHP = submits open meeting notices for PHP only. Note: Due to electronic submissions, original documents are maintained in their records series and this series contains only the email confirmation with the link to the submission. Formerly AIN. EX/GC.001 | |
| GC.015 | 1.1.026 | Texas Register Submissions - Rules | Copies of all proposed, withdrawn, emergency, and adopted rules; open meetings notices; or any other documents required by law to be submitted to the Texas Register. | AC | 1 | | | AC= Date of publication in the Register. | | GC = rule submissions, including PHP rules submissions. Note: Due to electronic submissions, original documents are maintained in their records series. Formerly AIN. EX/GC.001 | |
| CA.006 | | Special Projects | Contains all related records with the same function and retention period | AC | | | | AC = At a minimum for the duration of the project and until all subsequent needs have been satisfied. | | | |



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| CA.007 | 1.1.040 | Speeches, Papers and Presentations | Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work. | AC | | | | AC = End of term in office or termination of service in a state position. | R | <i>Note 1: Agency will submit records for archival review when the retention period is met. Note 2: Only speeches and papers of the executive staff and board members require archival review.</i> | |
| GC.016 | 1.1.043 | Training Materials | Instructional materials developed by an agency for training entities or individuals it regulates or serves. | US | 1 | | | | | Includes board training manuals and presentations, and outreach handouts and presentations that are superseded each fiscal year. | |
| GC.004 | 1.1.048 | Litigation Files | Records created by or on behalf of an agency in anticipation of or in the adjudication of a lawsuit. | AC | 1 | | | AC = As applicable, decision of an agency not to file a lawsuit or decision that a lawsuit will not be filed against it on a matter; dismissal of a lawsuit for want of prosecution or on a motion of the plaintiff; or final decision of a court (or of a court on appeal, if applicable) in a lawsuit. | R | <i>Note 1: Agency will submit records for archival review when the retention period is met. ARCHIVES NOTE: Cases that set legal precedent or exhibit historical value will be evaluated by the Archives and Information Services Division Texas State Library and Archives Commission.</i> | |
| GC.005 | 1.1.053 | Registration Logs & Visitor Control Registers | Logs or similar records used to register persons appearing before state agencies as required by Government Code, Chapter 2004, including quarterly reports files by the Texas Ethics Commission and/or used to document visitors to limited access or restricted areas of agency facilities. | AC | 3 | | | AC = Report filed with the Texas Ethics Commission or date quarterly report would have been filed when the agency has no information to report. | | The single form is used for visitors to sign-in to get a visitor's badge collects information for RISN 1.1.053 at the bottom and for RISN 5.4.011 at the top. | |
| CA.008 | 1.1.055 | Strategic Plans | Information resources and operational strategic plans prepared in accordance with §§2054.095 and 2056.002, Government Code. | AC | 6 | | | AC = September 1 of odd numbered calendar years | A | Archival requirement met by sending the required copies to the Texas State Publications Depository Program, TSLAC. | §§2054.095 and 2056.002, Government Code. |



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| | | | | | Years | Mont | Days | | | |
| CA.009 | 1.1.057 | Transitory Information | <p>Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series.</p> <p>Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; telephone message notifications; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction..</p> | AC | | | | AC = Purpose of record has been fulfilled. | <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions.</p> <p>The disposal of transitory information need not be documented through destruction signoffs (1.2.001) or in records disposition logs (1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (1.2.014).</p> | |



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| | | | | | Years | Mont | Days | | | | |
| EX.005 | 1.1.058 | Meeting Agenda and Minutes | Official agenda and minutes of state boards, committees, commissions, and councils that conduct open meetings as required by Government Code, Chapter 551 | PM | | | | | A | Agency retains permanent record copy. The archival requirement is met by sending minutes to the Archives and Information Services Division. CAUTION: Records series related to the Physican Health Program (PHP), which is administratively attached to TMB, must include records series 1.1.059 through 1.1.062, as appropriate. <i>106 No. #99-503-020</i> | Government Code, Chapter 551 |
| EX.002 | 1.1.059 | Meetings, Certified Agendas or Tape Recordings of Closed | Certified agendas or tape recordings of closed meetings of state boards. | AC | 2 | | | AC = The date of the meeting or completion of pending action involving the meeting, whichever is later. | | SEE caution comment at item number 1.1.058. | Government Code 551.104(a) |
| EX.003 | 1.1.060 | Meetings, Audio or Videotapes of Open | Audio or videotapes of open meetings of state boards. | AC | | | 90 | AC = Official approval of written minutes of the meeting by the governing body. | | Agency may not retain these tapes in lieu of written minutes. | |
| EX.004 | 1.1.061 | Meeting - Notes | Notes taken during open meetings of state boards from which written minutes are prepared. | AC | | | 90 | AC = Official approval of written minutes of the meeting by the governing body. | | SEE caution comment at item number 1.1.058. | |



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| EX.006 | 1.1.062 | Meetings -- Supporting Documentation | Documents submitted at meetings of state boards, including exhibit items, documentation for agenda items and includes documents sent in advance of meetings for briefing purposes, some of which may not be submitted at the actual meeting. | AC | 2 | | | AC = Official approval of written minutes of the meeting by the governing body. | A | <i>Note 1: Agency will submit records for archival review when the retention period is met.</i> Applies only to information that is available to the public under an open records request. | |
| FI.005 | 1.1.064 | Agency Performance Measures Documentation | Any records of an agency needed for the documentation of output, outcome, efficiency, and explanatory measures in an agency's appropriations request or strategic plan, and for performances measures used to manage the agency. | AC | 6 | | | AC = September 1 of odd numbered calendar years. | | Vital Record Agency enters performance measure data directly into the Legislative Budget Board's ABEST system. Agency does not create a separate report that is submitted to executive or legislative budget offices. | |
| CA.010 | 1.1.067 | Reports and Studies (Non-Fiscal) | Reports or studies on non-fiscal aspects of an agency's program, services, or projects compiled by agency personnel, advisory committees, or consultants under contract with the agency that are not noted elsewhere. Includes reports distributed either internally or to other entities. Includes the Licensure Report required by HB1973 | | 10 | | | | R | <i>Note 1: Agency will submit records for archival review when the retention period is met.</i> | |
| GC.001 | 1.1.070 | Board Rules - Final | Current rules in effect and historical copies of any rules that have been changed in the last three years. | AC | 3 | | | AC = Date the rule is superseded or the completion or termination of program, rules, policies or procedures. Access to adopted final rules is provided in the Texas Register and Texas Administrative Code | E | Vital Record <i>Note 1: Agency will submit records for archival review when the retention period is met.</i> 106 No. #96-503-017 | |



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| GC.002 | 1.1.071 | Board Rules - Working Files | Rule drafts, information sent to stakeholders, stakeholder meeting minutes, stakeholder and public comments, and staff working notes. | AC | 3 | | | AC = Until superseded or completion or termination of program, rules, policies or procedures. | E | Vital Record <i>Note 1: Agency will submit records for archival review when the retention period is met.</i> 106 No. #11-503-025 | |
| CA.019 | 1.1.070 | Agency Policies and Procedures - Final | Policies and procedures distributed internally for the use of employees that govern agency programs, services, or projects. | AC | 3 | | | AC = Completion or termination of the program, services, projects or policies and procedures. | | Vital Record SEE ALSO Agency Policies and Procedures - Working Files, CA.019. | |
| CA.020 | 1.1.071 | Agency Policies and Procedures - Working Files | Working files used in the development of policies and procedures distributed internally for the use of employees that govern agency programs, services, or projects. | AC | 3 | | | AC = Completion or termination of the program, services, projects or policies and procedures. | | Vital Record SEE ALSO Agency Rules, Policies and Procedures - Working Files, CA.020. | |
| PI.006 | 1.1.072 | Public Information Reports | Reports made to the Office of the Attorney General on an agency's Public Information Act activities. | | 2 | | | | | TMB queries the Public Information Database (PI.005) and enters the open records data monthly into the Office of Attorney General website. Query results will be destroyed at the end of the retention period. TMB does not have records retention access to the data entered into the OAG website. | Government Code, §552.010 |
| CA.011 | 1.1.074 | Sunset Review Report and Documentation | | AC | 3 | | | AC = After the 2nd subsequent Sunset Review. | R | <i>Note 1: Agency will submit records for archival review when the retention period is met.</i> | |
| Category 1 - Administrative Records / Section 1.2 Records Management | | | | | | | | | | | |
| RR.001 | 1.2.001 | Destruction Authorizations | Agency-level documents authorizing final disposition of records under a certified records retention schedule. | FE | 3 | | | | | Authorization for final disposition is generally performed via email. Confirmations of destruction should be filed with disposition logs and retained for the same period as that series. | |



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| RR.002 | 1.2.005 | Records Retention Schedule - (SLR105) | Agency copy. Includes documentation of certification and approval - forms SLR105C - and/or other forms designated by the State Records Administrator. | US | | | | | | Original retained by SLRM Division, TSLAC. | |
| RR.003 | 1.2.006 | Texas Delivery Report | Agency copy. Forms indicating records were transferred to storage or to the agency. | FE | 2 | | | | | TSLAC uses the Texas Delivery Reports, which replaced Records Transmittal Forms (RISN 1.2.006) and Disaster Recovery Services Transmittals (RISN 1.2.015) in 2016, but the update state retention schedule does not reflect this change. Includes Former AIN RR.008 | |
| RR.004 | 1.2.008 | Request for Authority to Dispose of Public Records (RMD102) | Agency Copy. Used for records series not on the agency records retention schedue. | FE | 3 | | | | | Original is retained permanently by the SLRM Division, TSLAC. | |
| RR.005 | 1.2.010 | Records Disposition Log | Logs or similar records listing records destroyed or transferred to the Archives, TSLAC, showing record series title, dates of records, and date destroyed or transferred. | | 10 | | | | | | |
| RR.006 | 1.2.011 | Records Center Storage Approval Forms (RMD106) | Agency Copy | US | | | | | | RMD 106 is no longer used, but forms for series currently stored at the Records Center should be retained. | |
| RR.007 | 1.2.014 | Records Management Plans | Records management plans and similar records that establish policies and procedures under which records and information are managed in an agency. | US | 1 | | | | | | |
| RR.009 | 1.2.016 | Disaster Recovery Service Approval Form (RMD 113) | Agency Copy | AC | | | | AC = Until superseded or termination of service. | | | |

Category 1 - Administrative Records / Section 1.3 State Publications



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Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
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| 3. Agency Item No. | 4. Record Series Item No. | 5. Record Series Title | 6. Description | 7. Ret. Code | 8. Retention Period | | | 9. AC Definition | 10. | 11. Remarks | 12. Legal Citations |
| | | | | | Years | Mont | Days | | | | |
| CA. 012 | 1.3.001 | State Publications | One copy of each state publication except a publication that is subject to a different retention period in this schedule. Meeting agendas, legislative appropriations requests, strategic plans and annual financial reports are state publications, but have different retention periods listed elsewhere in the scheudle. | AC | 2 | | | AC = Until superseded or obsolete | | <i>Note 8: State Publication is information in any format produced by the authority of or at the total or partial expense of a state agency or is required to be distributed under law by the agency, and is publicly distributed.</i> CAUTION: Many publications must be submitted to the Texas State Publications Depository Program. TSLAC will retain a copy of all publications submitted, subject to perodic evaluation to determine if it merits further retention. For more information see Texas Government Code §§441.101-441.006 and 13 TAC §§3.1-3.016. | |
| CA. 013 | 1.3.002 | Publication Development Files | Background material, drafts, original artwork, photo negatives, prints, etc. This includes work performed both inside and outside the agency. | AV | | | | | E | <i>Note 1: Agency will submit records for archival review when the retention period is met.</i> | |
| Category 2 - Electronic Data Processing Records | | | | | | | | | | | |
| IT.001 | 2.1.001 | Processing Files | Machine readable files used in the creation, utilization, and updating of master files. | AC | | | | AC = Completion of 3rd verification cycle, or audit completion confirming successful transaction processing, or required audit trail maintenance, or the ability to restore or migrate when errors are detected or when hardware or software changes occur | | Vital Record <i>Note 2: Agency will ensure that all audit requirements have been fulfilled prior to final disposition.</i> CAUTION: Before assigning a retention period of AC, determine if these files fall under any other records series. | |



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| IT.002 | | Information Security Data | Software and hardware access control system configuration and operations; configuration and logs from systems and hardware systems and devices. | AV | | | | | | AV = to be reviewed annually | |
| IT.007 | 2.1.007 | Software Programs | Automated software applications and operating system files including job control language, program listing/source code, etc. | AC | | | | AC = Until electronic records are transferred to and made usable in a new software environment or there are no electronic records being retained to meet an approved retention period that require the software to be retrieved and read. | | Vital Record CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records | 13 TAC 6.94 |
| IT.009 | 2.1.009 | Technical Documentation | Records adequate to specify all technical characteristics necessary for reading or processing of electronic records and their timely, authorized disposition. | AC | | | | AC=Until electronic records are transferred to and made usable in a new hardware or software environment with new documentation or there are no electronic records being retained to meet an approved retention period that require the documentation to be retrieved and read. | | <i>Note 2: Agency will ensure that all audit requirements have been fulfilled prior to final disposition.</i> CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records | 13 TAC 6.94 |
| IT.003 | 2.1.010 | Audit Trail Records | Files needed for electronic data audits or evaluating data accuracy such as files or reports showing transactions accepted, rejected, suspended, and/or processed; history files/tapes; records of on-line updates to application files or security logs. | AC | | | | AC = All audit requirements have been met. | | | |
| IT.004 | 2.2.001 | System Monitoring Records | Electronic files or automated logs created to monitor computer systems. | AV | | | | | | | |



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| IT.005 | 2.2.004 | Computer Processing Reports | Schedules or similar records showing computer jobs to be run and other reports by computer operations or programmers of work performed. | AC | | 3 | | AC = Report generation | | | |
| IT.006 | 2.2.010 | Data Processing Policies and Procedures Manuals | Guidelines or similar documents establishing data processing policies and procedures in an agency in such areas as access and security, systems development, data retention and disposition, data ownership, production control, system backup, etc. | US | 3 | | | | | CAUTION: Does not include technical documentation of procedures necessary for reading or processing of electronic records. See item 2.1.009 | |
| IT.010 | | Website Content Blocks - Major Features | Major features and sections, diagrams and lists of links, and data sources. | US | 1 | | | | | | |
| IT.011 | | Website Content Blocks - Historical | Screen dumps of website content blocks | AV | | | | | | AV = to be reviewed annually. | |
| IT.008 | 2.2.016 | Software Registrations, Warranties and License Agreements | | LA | 3 | | | | | | |
| Category 3: Personnel Records / Section 3.1 - Employee | | | | | | | | | | | |
| HR.002 | 3.1.001 | Applications for Employment - Not Hired | Applications, resumes, transcripts, letters of reference, and similar documents whose submission by the candidates for vacant positions is required on the application form, by application procedures or in the employment advertisement. | | 2 | | | | | Filed jointly with HR.006 and HR.007. | 29 CFR 1602.31 State Agencies |
| HR.003 | 3.1.002 | Applications for Employment - Hired | Applications, resumes, transcripts, letters of reference, and similar documents whose submission by the candidates for vacant positions is required on the application form, by application procedures or in the employment advertisement. | AC | 5 | | | AC = Termination of employment | | | |



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| HR.004 | 3.1.006 | Employee Counseling Records | Notes, memoranda, or reports relating to the counseling of an employee for work-related, personal, or substance abuse problems. Usually maintained at the supervisor level. | AC | 3 | | | AC = Termination of counseling. | Note: Any counseling that involves a medical issue or a substance abuse problem must be kept confidential. | | |
| HR.005 | 3.1.011 | Employee's Insurance Records | Agency copies of information related to employees selection of insurance offered by the State of Texas. | AC | | | | AC = Until superseded or termination of employment | Note: Agency only retains forms of new employees intital selection of benefits and authorizations from employees, when HR staff must make entries on the employee's behalf. All other selections are made by employees through the ERS website and the TMB has no access to records retention data. TMB assumes the record is superseded during the next open enrollement period when the employee accepts current coverage or initiates a change. CONFIDENTIAL | | |
| HR.006 | 3.1.012 | Employment Opportunity Announcements | Internal or external announcements or advertisements of job openings, promotions, training programs, or opportunities for overtime. | | 2 | | | | Filed jointly with HR.002 and HR.007. | 29 CFR 1602.31 [State Agencies] | |
| HR.007 | 3.1.014 | Employment Selection Records | Includes notes of interviews with candidates, questions asked of applicants, audio and video tapes of job interviews, driving record and previous injury checks, preemployment physical examinations, preemployment drug screening test results, polygraph examinations and results, and all other records that document the selection process. | | 2 | | | | Vital Record Filed jointly with HR.002 and HR.006. CAUTION: Does not include criminal history checks. SEE item number 3.1.026. | 29 CFR 1602.31 [State Agencies] | |
| HR.008 | 3.1.018 | Grievance Records | Review of employee grievances against personnel policies, working conditions, etc. | AC | 2 | | | AC = Final decision on the grievance | Vital Record CAUTION: Does not include formal complaints filed by an agency with the EEO of the US Department of Labor. See Item 1.1.048. | | |



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| HR.009 | 3.1.019 | Performance Appraisals | Includes any copies maintained by supervisors, managers, or Human Resources. | | 2 | | | | | | 29 CFR 1620.32(c). |
| HR.010 | 3.1.020 | Personnel Corrective Action Documentation | Corrective actions do not affect pay, status, or tenure and are imposed to correct or improve an employee's job performance. | AC | 5 | | | AC = Termination of corrective action. | | CAUTION: If during the retention period of this records series, any part of this series is used to document or support a disciplinary action under 3.1.021, all documentation used to support the disciplinary action must be retained for the minimum period under 3.1.021. | |
| HR.011 | 3.1.021 | Personnel Disciplinary Action Documentation | Disciplinary actions are those actions that may affect pay, status or tenure. May also be used to document evidence of employee selfimprovement efforts as well as favorable and unfavorable communication maintained by supervisors, managers, or Human Resources. | AC | 5 | | | AC = Termination of employment. | | Vital Record | |
| HR.012 | 3.1.022 | Personnel Information or Action Forms | Forms or similar records used to create or change information concerning the records of an employee including pay grade, position classification, evaluation date, and termination of employment. | AC | 5 | | | AC = Termination of employment | | | 29 CFR 1602.31 [State Agencies]. |
| HR.013 | 3.1.023 | Position/Job Descriptions | Job descriptions, including all associated task or skill statements, for positions in an agency | AC | 4 | | | AC = Until superseded or job eliminated | | Vital Record This series is the compilation of all job descriptions by position not by employee. | 40 TAC 815.106(i) |
| HR.031 | | Employee Job Descriptions | The job description signed by the employee and filed in the employee's personnel folder. | US | | | | | | | |
| HR.014 | 3.1.026 | Criminal History Checks | Criminal history record information on job applicants or agency employees obtained from the Department of Public Safety (DPS). | AC | | | | AC=The criminal history record has served the immediate purpose for which it was obtained. | | CAUTION: See Subchapter F, Chapter 411, Government Code for appropriate retention and use of this information. | |



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| HR.015 | 3.1.027 | Training and Educational Achievement Records (Individual) | Certificates of completion, transcripts, test scores, or similar records documenting the training, testing or continuing education achievements of an employee. | AC | 5 | | | AC = Termination of employment | | | |
| HR.016 | 3.1.029 | Employment Eligibility, Documentation or Verification of | Federal reporting form (INS I-9) | AC | 1 | | | AC = Termination of employment | | Vital Record CAUTION: Federal regulation requires that INS I-9 forms be retained for 3 years from date of hire or 1 year after separation of the employee, whichever is later. Documents for employees who terminate before their third year of employment must be retained for a total of 3 years. | 8 CFR 274a.2(b)(2)(i)(A) and (c)(2) |
| FI.064 | 3.1.031 | Employee Benefits - Other than Insurance | Agency copies of information relating to the selection of available benefit options other | AC | 2 | | | AC= Until superseded or termination of employment | | Vital Record <i>Note: This records series contains only Benefit Replacement Pay (BRP) forms that are filed with the December payroll documentation. BRP selections must be made annually. Starting in December 2017 employees began making BRP selections in CAPPs. All other selections are made by employees through the CAPPs website and the TMB has no records retention access to that data. Any forms received by the agency are assumed to be superseded the following December or when the employee terminates, which ever comes first.</i> | |
| HR.017 | 3.1.037 | Employee Recognition Records | Awards, incentives, tenure, etc. | AC | 5 | | | AC = Termination of employment | | | |



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| | | | | | Years | Mont | Days | | | | |
| HR.018 | 3.1.038 | Public Access Option Form | Form completed and signed by employee or official, or former employee or official, electing to keep home address, home telephone number, social security number, and family information open or confidential under the Public Information Act, Government Code §552.024 | US | | | | | | See item 3.3.011 Once an employee is terminated, the last form on file is moved to HR.021 (3.3.011). | Public Information Act, Government Code §552.024 |



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| | | | | | Years | Mont | Days | | | | |
| Category 3: Personnel Records / Section 3.2 - Payroll | | | | | | | | | | | |
| FI.020 | 3.2.001 | Employee Deduction Authorizations | Documentation used to start, modify, or stop all voluntary or required deductions from payroll, including garnishment or other courtordered attachments. | AC | 4 | | | AC = After termination of employee or after amendment, expiration, or termination of authorization, whichever sooner. | | Vital Record | |
| FI.065 | 3.2.003 | Federal Tax Records | Includes 1099, W2, FICA and other tax records. | AC | 4 | | | AC = Tax due date, date the claim is filed, or date tax is paid, whichever is later. | | Vital Record | 26 CFR 31.6001 - 1(e)(2) |
| FI.022 | 3.2.005 | W-4 Forms | Employer's copy of "Employees' Withholding Exemption Certificate". | AC | 4 | | | AC = Until superseded, obsolete, or upon separation of employee. | | Vital Record Starting in July 2017 employees began making W-4 selections in CAPPs. Agency only retains forms of new employees and authorizations from employees, when entries must be made on an employee's behalf. All other selections are made by employees through the CAPPs website and the TMB has no records retention access to that data. Any forms received by the agency are considered to be obsolete after one year from receipt or upon separation of the employee, which ever comes first. | 26 CFR 31.6001- 1(e)(2) |
| HR.019 | 3.2.007 | Unemployment Compensation Records | | AC | 5 | | | AC = Date of response to TWC's initial letter or appeal letter, whichever is later. | | | |



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| FI.066 | 3.2.008 | Direct Deposit Application/Authorizations | | US | | | | | | Vital Record Starting in July 2017 employees began entering direct deposit changes in CAPPs. Agency only retains forms of new employees and authorizations from employees, when entries must be made on an employee's behalf. All other changes are made by employees through the CAPPs website and the TMB has no records retention access to that data. Any forms received by the agency are considered to be superseded at the end of the fiscal year + one year or upon separation of the employee, which ever comes first. | |
| Category 3: Personnel Records / Section 3.3 - Personnel Administration | | | | | | | | | | | |
| HR.020 | 3.3.001 | Affirmative Action Plans | Affirmative action plans for both regular employees and apprenticeship programs. | | 5 | | | | | | 29 CFR 30.8(e) for apprenticeship plans. |
| HR.021 | 3.3.011 | Former Employee Verification Records | Minimum information needed to verify employment, includes name, social security number, exact dates of employment, last known address and most recent public access option form. | AC | 75 | | | AC = Termination of Employment | | Vital Record (See item number 3.1.038) | |
| HR.022 | 3.3.015 | Positions/Job Classification Review File | Records relating to review and monitoring of job classifications within an agency. | US | 3 | | | | | | |
| HR.023 | 3.3.020 | Work Schedules / Assignments | Work, duty, shift, crew or case schedules, rosters or assignments | AC | 2 | | | AC=US+FE | | When superseded, keep until that fiscal year end plus 2. | |
| HR.024 | 3.3.022 | Texas Workforce Commission (TWC) Reports | Reports to the agency from TWC pertaining to employees. Includes reports on unemployment and civil rights. | | 3 | | | | | | |



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| HR.025 | 3.3.024 | Personnel Policies and Procedures | Any internally distributed manuals, guidelines or similar records that define agency wide policies and procedures concerning the personnel of the agency. | US | 3 | | | | | | |
| FI.067 | 3.3.026 | Agency Staffing Reports | Any reports compiled by an agency on aspects of personnel staffing, including listing of all staff by program or name, staff hired during a month, detailed listings of employees within its organizational structure, position vacancies, analysis of turnover rates and seasonality of employment, etc. | US | 5 | | | | | Reports are considered superseded each year on 8/31 when the fiscal year report is generated. | |
| HR.030 | 3.3.027 | Aptitude and Skills Tests | Aptitude or skills tests required of job applicants or of current personnel to qualify for promotion or transfer. | US | 2 | | | | | This series is the blank test, not the test completed by the applicant. CAUTION: One copy of each different test (Different in terms of either questions or administration procedures) should be retained for the period indicated. | 29 CFR 1602.31 |
| HR.026 | 3.3.030 | Training Administration Records | Instructional materials and other records associated with in-house training of agency personnel on personnel policies and procedures and other policies and procedures that govern and agency's programs, services or projects. | US | 2 | | | | | | |
| FI.062 | 3.3.031 | EEO Reports and Supporting Documentation | Includes documentation used to complete EEO reports. | | 3 | | | | | | 29 CFR, 1602.32, 1602.39, 1602.41, 1602.48, and 1602.50 |
| FI.063 | 3.3.032 | Equal Pay Records | Reports, studies, aggregated or summary data, and similar documentation compiled to monitor and demonstrate compliance with the Equal Pay Act. | | 3 | | | | | Vital Record | 29 CFR 1602.32 |



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| Category 3: Personnel Records / Section 3.4 - Time and Leave Reports | | | | | | | | | | | |
| FI.060 | | Pay and Leave Records | All records supporting transactions made by Finance staff into CAPPS affecting an employees pay or leave. | FE | 3 | | | | | | |
| FI.061 | 3.4.001 | Accumulated Leave Adjustment Reports | Created on an ad hoc basis to correct errors to correct errors on leave accumulation, and to close out leave accounts on separated employees. | FE | 3 | | | | | | |
| FI.068 | 3.4.004 | Overtime Authorization | | | 2 | | | | | Starting July 10, 2017 all Overtime Authorizations are completed electronically through the CAPPS website. TMB has no records retention access to the data. FY 2017 authorizations will be destroyed 9/1/19, afterwhich all authorizations will be contained in CAPPS. | |
| FI.015 | 3.4.006 | Time Sheets | | | 4 | | | | | Starting in July 2017, timesheets were completed electronically through the CAPPS website. TMB has no records retention access to the data. FY 2017 times sheets will be destroyed 9/1/21, afterwhich all timesheetss will be contained in CAPPS. | 40 TAC 815.106(i) |
| HR.033 | 3.4.007 | Time Off and/or Sick Leave Requests | | FE | 3 | | | | | Includes all non-verbal requests for time off in advance, regardless of the type of leave used. | |
| HR.029 | 3.4.008 | Sick Leave Pool Documentation | Requests submitted, approvals, number of hours transferred in and out, etc. | FE | 3 | | | | | | |
| Category 4: Fiscal Records / Section 4.1 - Worksheets, Detail Information on Financial Event or Transactions | | | | | | | | | | | |



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| FI.031 | 4.1.003 | Canceled Checks / Stubs/Warrants/ Drafts | | FE | 3 | | | | | | |
| FI.069 | 4.1.007 | Transfers or Budget Revisions | Transfers or adjustments to budgets | FE | 3 | | | | | | |
| FI.070 | 4.1.008 | Electronic Funds Transfer Direct Deposit Registers | | FE | 3 | | | | | | |
| Category 4: Fiscal Records / Section 4.2 - Documents of Original Entry | | | | | | | | | | | |
| FI.032 | 4.2.001 | Cash Deposit Vouchers | Cash deposit slips | FE | 3 | | | | | | |
| FI.033 | 4.2.002 | Cash Receipts | Includes receipts for fees permits, licenses, renewals, etc. | FE | 3 | | | | | | |
| FI.034 | 4.2.003 | Daily Cash Receipts Logs | | FE | 3 | | | | | | |
| FI.071 | 4.2.004 | Encumbrance Vouchers | Orders, statements, change orders, etc. | FE | 3 | | | | | | |
| FI.072 | 4.2.005 | Purchase Orders | Documents that authorize expenditures, such as requisitions, orders, change orders, best value determinations, etc. | FE | 3 | | | | | | |
| FI.035 | 4.2.006 | General Journal Vouchers | | FE | 3 | | | | | | |
| FI.036 | 4.2.007 | Expenditure / Purchase Vouchers | Documents that authorize payments, such as receiving reports, invoices, statements, travel, payroll, etc. | FE | 3 | | | | | | |
| Category 4: Fiscal Records / Section 4.5 - Reports | | | | | | | | | | | |
| FI.073 | 4.5.002 | Internal Fiscal Management Reports | Includes agency monthly budget reports | FE | 3 | | | | | | |
| FI.038 | 4.5.003 | Annual Financial Report | Required by the General Appropriations Act. | AC | 6 | | | AC = September 1 of odd-numbered calendar years | A | The archival requirement is met by sending copies to Texas State Publications Depository Program, TSLAC. Note: Two AFRs have the same AC date. | |
| FI.074 | 4.5.005 | External Fiscal Reports | Special purpose - i.e. federal financial reports, salary reports, etc. Includes HUB reports. | FE | 3 | | | | | Series included the agency's Non-financial Annual Report | |



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Retention Codes (field 7)

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Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
 R/O – Review by State/University Archivist

| 1. Agency Code: 503 | | 2. Agency Name: Texas Medical Board | | | | | | | | | |
|--|---------------------------|---|---|--------------|---------------------|------|------|--|-----|---|---------------------|
| 3. Agency Item No. | 4. Record Series Item No. | 5. Record Series Title | 6. Description | 7. Ret. Code | 8. Retention Period | | | 9. AC Definition | 10. | 11. Remarks | 12. Legal Citations |
| | | | | | Years | Mont | Days | | | | |
| FI.039 | 4.5.006 | Annual Operating Budgets | Required by the General Appropriations Act. | FE | 3 | | | | | (Legislative Budget Board) | |
| FI.075 | 4.5.007 | USAS Reports - Daily | | FE | 3 | | | | | USAS is the system of record and no longer have an internal system to reconcile to. Daily reports are used to record the payment data on the payment voucher and are retained for the same length of time as the payment voucher. | |
| Category 4: Fiscal Records / Section 4.6 - Documents Showing Compliance with Internal Control | | | | | | | | | | | |
| FI.076 | 4.6.002 | Reconciliations | | FE | 3 | | | | | | |
| Category 4: Fiscal Records / Section 4.7 - Other Fiscal | | | | | | | | | | | |
| FI.040 | 4.7.001 | Accounting Policies and Procedures Manual | | US | 3 | | | | | Vital Record | |
| FI.041 | 4.7.002 | Bank Statements | | FE | 3 | | | | | | |
| FI.077 | 4.7.004 | Capital Asset Records | | LA | 3 | | | | | | |
| FI.078 | 4.7.012 | Signature Authorizations | Signature cards or similar records establishing authority of and agency employee to initiate or authorize financial transactions on behalf of the agency. | AC | 3 | | | AC=US+FE | | | |
| Category 5: Support Service Records / Section 5.1 - General | | | | | | | | | | | |
| FI.043 | 5.1.001 | Contracts and Leases | Documents include specifications, affidavits of publication of call for bids, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. | AC | 7 | | | AC = Expiration or termination of the instrument according to its terms. | | Vital Record | |
| FI.044 | 5.1.005 | Postage Reports | Records and reports of postage expenses, including postage meter usage. | FE | 3 | | | | | | |
| PI.004 | 5.1.012 | Charge Schedules/Price Lists | Schedules of prices charged by an agency for services to the public or other agencies, including any documentation used to determine the charges. | US | 3 | | | | | | |



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| | | | | | Years | Mont | Days | | | | |
| FI.045 | 5.1.013 | Insurance Policies | Executed, renewed, or amended after September 1, 2015. | AC | 7 | | | AC = Expiration or termination of the policy according to the terms. | | Vital Record | Government Code, 441.1855 |
| CA.014 | 5.1.014 | Office Procedures | Any internally distributed manual, guidelines, or similar records that establish standard office procedures for an agency; for example, agency style manuals, telephone protocols, mail room procedures; print shop and photocopying ordering instructions. | US | 1 | | | | | | |
| FI.079 | 5.1.015 | Correspondence Tracking Records | Any record created by an agency to track any type of incoming overnight or hand-delivered correspondence or packages by the US Postal Service or by private couriers. | FE | 1 | | | | | | |
| Category 5: Support Service Records / Section 5.2 - Facility Management | | | | | | | | | | | |
| FI.046 | 5.2.011 | Equipment Warranties | | AC | 1 | | | AC = Expiration of warranty | | | |
| FI.047 | 5.2.014 | Inventory | Annual Physical Property, equipment, supply verification | FE | 3 | | | | | | |



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| | | | | | Years | Mont | Days | | | | |
| Category 5: Support Service Records / Section 5.3 - Purchasing | | | | | | | | | | | |
| FI.080a | 5.3.007 | Bid Documentation - Successful | Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, and bid tabulation/evaluations for successful bids. Associated with a contract executed, renewed, or amended on or after September 1, 2015. | AC | 7 | | | AC = Expiration or termination of the instrument according to its terms or decision not to proceed with the bid. | | | |
| FI.080b | 5.3.007 | Bid Documentation - Unsuccessful | Unsuccessful bids that do not meet agency submission requirements and are not included in bid evaluation process (e.g. withdrawn, missed submission deadline, incomplete submission, etc.). | AC | 2 | | | AC = Date of notification of denial or date of withdrawal, as applicable. | | | |
| FI.048 | 5.3.008 | Purchasing Logs | Log, register, etc., providing a record of purchase orders issued, orders received, and similar data on procurement status | FE | 3 | | | | | | |



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| | | | | | Years | Mont | Days | | | | |
| FI.081 | 5.3.009 | Requests for Information | Requests for information preliminary to the procurement of goods or services by direct purchase or bid. | AC | | | | AC = Date of direct purchase, issuance of requests for bids, or decision not to proceed with the procurement. | | CAUTION: If the request for information leads to request for proposal or bid, the request for information documentation should be retained in accordance with item number 5.3.007. | |
| Category 5: Support Service Records / Section 5.4 - Risk Management | | | | | | | | | | | |
| FI.049 | 5.4.001 | Accident Reports and Associated Documentation | Accident or occupational disease reports by supervisors and employees and other associated reports required to be submitted to the Texas Department of Insurance or its predecessors or maintained internally on accident frequency. | CE | 5 | | | | | Texas Department of Insurance retains copies of reports submitted to it for 50 years. | 29 CFR 1904.33. |
| FI.050 | 5.4.002 | Evacuation Plans | Plans for the evacuation of agency facilities in case of an emergency. | US | | | | | | | |
| FI.051 | 5.4.003 | Inspection Records | Fire safety, and other inspection records of agency facilities and equipment. | AC | 3 | | | AC = Inspection, or date of the correction of the deficiency if the inspection report reveals a deficiency. | | | |
| FI.052 | 5.4.012 | Security Access Records | Issuance of keys, identification cards, building passes, passwords, or similar access to agency facilities, equipment, automated systems. | AC | 2 | | | AC = Until superseded, date of expiration, or date of termination, whichever sooner. | | Building Access - Forms authorizing issuance of keys and badges are kept for the retention period. The electronic system is considered transitory information and not a record. | |
| CA.015 | 5.4.013 | Disaster Recovery Plan | Disaster Recovery Plan and supporting documentation | US | | | | | | | |
| CA.017 | 5.4.013 | Continuity of Operations Plan | Continuity of Operations Plan and supporting documentation. Includes the agency plan, subordinate plans, data and information supporting plan development, correspondence with the State Office of Risk Management (SORM) regarding interpretation of state requirements, and SORM approval of agency submissions. | US | 1 | | | | | | Labor Code 412.054 |
| Category 5: Support Service Records / Section 5.6 - Vehicles | | | | | | | | | | | |



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| 3. Agency Item No. | 4. Record Series Item No. | 5. Record Series Title | 6. Description | 7. Ret. Code | 8. Retention Period | | | 9. AC Definition | 10. | |
| | | | | | Years | Mont | Days | | | |
| HR.032 | 5.6.004 | License and Driving Record Checks | Performed based on risk assessment of the position. | AC | | | | AC = Until superseded or until termination of | | |
| Agency Records Related to General Council | | | | | | | | | | |
| GC.006 | | Hearing Reports | Created by hearings counsel to document proceedings of ISC, TS, or hearing to modify or terminate an order | AC | 5 | | | AC = Date final report issued | | |
| GC.007 | | General Counsel Question Responses | | AC | 3 | | | AC = Date response is sent to requestor | | |
| GC.008 | | Expunction Orders | | FE | 1 | | | | | |
| GC.009 | | Notification to Law Enforcement/Other State Boards | Notification of other entities based upon TMB enforcement activity | FE | 10 | | | | | |
| GC.010 | | Report Supporting Notification to Law Enforcement/Other State Boards | Information used to support a notification to law enforcement or other state boards regarding a licensee. | FE | 2 | | | | | |
| GC.011 | | Custodian of Records Database | Database of custodians of records. | PM | | | | | | |
| GC.012 | | Custodian of Records - Notification Correspondence | Correspondence received from a physician specifying who has custodianship of patient medical records upon the discontinuing their practice. | FE | 3 | | | | | 22 TAC 165.5 |
| GC.013 | | Bankruptcy Records | Notices of licensees who have filed bankruptcy and related records if the TMB determines OAG representation is needed to protect medical records. | FE | 5 | | | | | |
| Agency Records Related to Licensure | | | | | | | | | | |
| LIC.101 | | Licensee History Information | Database and/or spreadsheet, depending on license/permit type, includes current and historical information each regulated individual or entity. | PM | | | | | | Formerly AIN PH.080 |
| LIC.102 | | Verification | Verification of third party requests for information on any permit holder or licensee the requestor has legal authority to check. | AV | | | | | | Formerly AIN PH.066 |



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| | | | | | Years | Mont | Days | | | | |
| LIC.103 | | Continuing Education Audits | All relevant license/permit types | AC | | | | AC = Audit closed | | Note 2: Agency will ensure that all audit requirements have been fulfilled prior to final disposition. Formerly AIN PH.067 | |
| LIC.104 | | Pre-Licensure Application Correspondence | Correspondence (PC *mail) is from individuals who intend to file but have not submitted an application. *previous correspondence | AC | | | | AC = Until licensure application has been submitted or six months since receipt of letter, whichever is earlier. | | Formerly AIN PH.019 | |
| LIC.105 | | Registration/Permits Correspondence | All relevant license/permit types | AV | | | | | | AV = To be reviewed annually. Formerly AIN PH.060 | |
| LIC.106 | | Applicant and Licensee - Address Changes | All relevant license/permit types | FE | 3 | | | | | Formerly AIN PH.069 | |
| LIC.107 | | Licensee Defaults | Includes, but not limited to, loan and child support defaults and applies to all relevant license/permit types | FE | 3 | | | | | Formerly AIN PH.071 | |
| LIC.108 | | Death Notices | Notification submitted regarding the death of a licensee/permit holder. All relevant license/permit types. | FE | 3 | | | | | Formerly AIN PH.070 | |
| <i>Physicians</i> | | | | | | | | | | | |
| PH.101 | | Physician Licensure Applications - Active | Active applications | AC | | | | AC = Date license is issued or application expires or is withdrawn. | | Becomes PH.102, PH.103, or PH.104 Formerly AIN PH.021 | |
| PH.102 | | Physician Licensure - Granted | Application files of those who were granted a physician license. | AC | 20 | | | AC = License approved. | | Formerly AIN PH.065 106 No.#91-503-011 | |
| PH.103 | | Physician Licensure Applications - With Review | Denied, or expired, or withdrawn (with review) | AC | 20 | | | AC = Date application is denied or expired. | | Formerly AIN PH.014 106 No. #10-503-024 | |
| PH.104 | | Physician Licensure Applications - Without Review | Denied, or expired, or withdrawn (without review) | AC | 6 | | | AC = Date of application expiration. | | Formerly AIN PH.020 | |



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| 3. Agency Item No. | 4. Record Series Item No. | 5. Record Series Title | 6. Description | 7. Ret. Code | 8. Retention Period | | | 9. AC Definition | 10. | 11. Remarks | 12. Legal Citations |
| | | | | | Years | Mont | Days | | | | |
| PH.105 | | Physician Registration | Registration information, Specific renewal/registration responses | FE | 3 | | | | | Note 2: Agency will ensure that all audit requirements have been fulfilled prior to final disposition. (Combined with Former AIN PH.063) Formerly AIN PH.062 106 No. #91-503-006 106 No. #91-503-005 | |
| PH.106 | | Physician Cancellation | Cancellation documentation (requests, affidavits, etc) | FE | 3 | | | | | Formerly AIN PH. 074 | |
| PH.107 | | Physician Retirement | Retirement status documentation (requests, affidavits, etc) | FE | 3 | | | | | Formerly AIN PH. 061 | |
| PH.108 | | Physician Voluntary Charity Care | Voluntary Charity Care status documentation (requests, affidavits, etc.) | FE | 3 | | | | | Formerly AIN PH. 075 | |
| PH.109 | | Physician - Prescriptive Delegation Applications | Prescriptive delegation to PA and APN applications | FE | 3 | | | | | Formerly AIN PH. 031 | |
| PH.110 | | Physician - Prescriptive Delegation Waivers | Prescriptive delegation waiver requests | FE | 3 | | | | | Formerly AIN PH. 034 | |
| PH.111 | | Chief Medical Officer Forms | Chief Medical Officer Designation/Contact Forms | AC | 1 | | | AC = Individual no longer serves as a Chief Medical Officer | | | |
| PH.112 | | Jointly Owned Entities Physician/PA Annual Reporting | Annual Reporting Forms submitted by an entity that is jointly owned by a Physician and PA. | AC | | 6 | | AC = Subsequent annual reporting not received | | | |
| PH.113 | | Physician Temporary Permit | Applications and permits issued, denied or expired. Includes, but is not limited to visiting professor, National Health Service Corps, consulting physician and faculty temporary permits. | AC | 10 | | | AC = Subsequent annual reporting not received | | Note 5: Scanned after closure, paper destroyed. Becomes part of the licensed physician files. (Combined with Former AIN PH.053) Formerly AIN PH.076 | |
| PH.114 | | Physician Licensure Reference Files | Reference files | AV | | | | | | Formerly AIN PH.010 | |



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| | | | | | Years | Mont | Days | | | | |
| PH.115 | | Individual Physicians Summaries Prior to 1977 | Information on licensed physicians up to 1977 (red books and yellow cards). | AC | 75 | | | AC = 1977 | | Many of these records have not been digitized. Formerly AIN PH.064 106 No. #94-503-013 | |
| PH.116 | | Medical Schools Reference Files | | AV | | | | AV = To be reviewed annually | | Formerly AIN PH.011 | |
| <i>Physicians-in-Training</i> | | | | | | | | | | | |
| PIT.101 | | Physicians in Training Permit Applications - Active | Active applications | AC | | | | AC = Date permit issued or expired. | | Becomes PIT.102, PIT.103 or PIT.104 Formerly AIN PH.054 | |
| PIT.102 | | Physicians in Training - Permitted Files | Application files of those who were granted permits | AC | 10 | | | AC = Date permit issued. | | If PIT is issued a Texas license, this permit file becomes part of PH.102. Formerly AIN PH.055 | |
| PIT.103 | | Physicians in Training Permit Applications - With Review | Denied, or expired or withdrawn (with review) | AC | 10 | | | AC = Date permit issued or expired. | | Formerly AIN PH.056 | |
| PIT.104 | | Physicians in Training Permit Applications - Without Review | Denied, expired or withdrawn (without review) | AC | | 6 | | AC = Date application expires | | Formerly AIN PH.057 | |



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| <i>Physician Assistant</i> | | | | | | | | | | | |
| PA.101 | | Physician Assistant Licensure Applications - Active | Active applications | AC | | | | AC = Date license is issued or application expires or is withdrawn. | | Becomes PA.102, PA.103, or PA.104, Formerly AIN PA.001 | |
| PA.102 | | Physician Assistant Licensure - Granted | Application files of those who were granted PA licensure | AC | 20 | | | AC = Date license issued | | Formerly AIN PA.002 | |
| PA.103 | | Physician Assistant Licensure Applications - With Review | Denied, or expired or withdrawn (with review) | AC | 20 | | | AC = Date license denied or expired | | Formerly AIN PA.003 | |
| PA.104 | | Physician Assistant Licensure Applications - Without Review | Expired or withdrawn (without review) | AC | | 6 | | AC = Date application expires | | Formerly AIN PA.004 | |
| PA.105 | | Physician Assistant Registration | Registration information. Specific renewal/registration responses. | FE | 3 | | | | | Formerly AIN PA.005 | |
| PA.106 | | Physician Assistant Cancellation | Cancellation documentation (requests, affidavits, etc.) | FE | 3 | | | | | Formerly AIN PA.006 | |
| PA.107 | | Physician Assistant - Retirement | Retirement status documentation (requests, affidavits, etc.) | FE | 3 | | | | | | |
| PA.108 | | Physician Assistant Licensure - Reference Files | Reference files | AV | | | | | | Formerly AIN PA.008 | |
| PA.109 | | Physician Assistant Supervision | Supervision Forms | FE | 3 | | | | | Formerly AIN PA.007 | |
| PA.110 | | Physician Assistant - Inactive | Inactive status documentation (requests, affidavits, etc.) | FE | 5 | | | | | FE+5 years (length of time Inactive is allowed by statute) | |
| <i>Acupuncturist</i> | | | | | | | | | | | |
| AC.101 | | Acupuncturist Licensure Applications - Active | Active applications | AC | | | | AC = Date license is issued or application expires or is withdrawn. | | Becomes AC.102, AC.103, or AC.104 Formerly AIN AC.001 | |
| AC.102 | | Acupuncturist Licensure - Granted | Application files of those who were granted acupuncturist licensure | AC | 20 | | | AC = Date license issued | | Formerly AIN AC.002 | |



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| | | | | | Years | Mont | Days | | | | |
| AC.103 | | Acupuncturist Licensure Applications - With Review | Denied, or expired or withdrawn (with review) | AC | 20 | | | AC = Date license denied or expired | | Formerly AIN AC.003 | |
| AC.104 | | Acupuncturist Licensure Applications - Without Review | Expired or withdrawn (without review) | AC | | 6 | | AC = Date application expires | | Formerly AIN AC.004 | |
| AC.105 | | Acupuncturist Registration | Registration information. Specific renewal/registration responses. | FE | 3 | | | | | Formerly AIN AC.005 | |
| AC.106 | | Acupuncturist Cancellation | Cancellation documentation (requests, affidavits, etc.) | FE | 3 | | | | | Formerly AIN AC.007 | |
| AC.107 | | Acupuncturist Retirement | Retirement status documentation (requests, affidavits, etc.) | FE | 3 | | | | | | |
| AC.108 | | Acupuncturist Licensure - Reference Files | Reference files | AV | | | | | | Formerly AIN AC.008 | |
| AC.109 | | Acupuncturist - Inactive | Inactive status documentation (requests, affidavits, etc.) | FE | 5 | | | | | FE+5 years (length of time Inactive is allowed by statute) | |
| AC.110 | | Acupuncturist Temporary Permit | Acupuncture Distinguished Professor Temporary Permit applications | AC | 5 | | | AC = Date permit issued, denied or expired. | | Formerly AIN AC.006 | |
| <i>Acudetox Specialist</i> | | | | | | | | | | | |
| AS.101 | | Acudetox Specialist Licensure Applications - Active | Active applications | AC | | | | AC = Date license issued or denied, or application expires or withdrawn. | | Becomes AS.102, AS.103, or AS.104 Formerly AIN AS.001 | |
| AS.102 | | Acudetox Specialist Licensure - Granted | Application files of those who were granted acudetox specialist licensure | AC | 20 | | | AC = Date license issued | | Formerly AIN AS.002 | |
| AS.103 | | Acudetox Specialist Licensure Applications - With Review | Denied, or expired or withdrawn (with review) | AC | 20 | | | AC = Date license denied or expired | | Formerly AIN AS.003 | |
| AS.104 | | Acudetox Specialist Licensure Applications - Without Review | Expired or withdrawn (without review) | AC | | 6 | | AC = Date application expires. | | Formerly AIN AS.004 | |
| AS.105 | | Acudetox Specialist Registration | Registration information. Specific renewal/registration responses. | FE | 3 | | | | | Formerly AIN AS.005 | |



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 CE – Calendar year end
 FE – Fiscal year end
 LA – Life of Asset
 PM – Permanent
 US – Until Superseded

Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
 R/O – Review by State/University Archivist

| 1. Agency Code: 503 | | 2. Agency Name: Texas Medical Board | | | | | | 9. AC Definition | | 11. Remarks | | 12. Legal Citations |
|----------------------------|---------------------------|--|---|--------------|---------------------|------|------|------------------|--|---------------------|--|---------------------|
| 3. Agency Item No. | 4. Record Series Item No. | 5. Record Series Title | 6. Description | 7. Ret. Code | 8. Retention Period | | | 10. | | | | |
| | | | | | Years | Mont | Days | | | | | |
| AS.106 | | Acudetox Specialist Cancellation | Cancellation documentation (requests, affidavits, etc.) | FE | 3 | | | | | Formerly AIN AS.006 | | |



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Retention Codes (field 7)

AC – See field 9 for specific records series definition
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 CE – Calendar year end
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Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
 R/O – Review by State/University Archivist

| 1. Agency Code: 503 | | 2. Agency Name: Texas Medical Board | | | | | | 11. Remarks | | 12. Legal Citations | |
|--|---------------------------|---|---|--------------|---------------------|------|------|--|--|---------------------|--|
| 3. Agency Item No. | 4. Record Series Item No. | 5. Record Series Title | 6. Description | 7. Ret. Code | 8. Retention Period | | | 9. AC Definition | 10. | | |
| | | | | | Years | Mont | Days | | | | |
| <i>Non-Certified Radiologic Technologist</i> | | | | | | | | | | | |
| NCT.101 | | Non-Certified Radiologic Technician Licensure Applications - Active | Active applications | AC | | | | AC = Date license issued or denied, or application expires or withdrawn. | Becomes NCT.102, NCT.103, or NCT.104 Formerly AIN NCT.001 | | |
| NCT.102 | | Non-Certified Radiologic Technician Licensure - Granted | Application files of those who were granted non-certified radiologic technician licensure | AC | 20 | | | AC = Date license issued | Formerly AIN NCT.002 | | |
| NCT.103 | | Non-Certified Radiologic Technician Licensure Applications - With Review | Denied, or expired or withdrawn (with review) | AC | 20 | | | AC = Date license denied or expired | Formerly AIN NCT.003 | | |
| NCT.104 | | Non-Certified Radiologic Technician Licensure Applications - Without Review | Expired or withdrawn (without review) | AC | | 6 | | AC = Date application expires | Formerly AIN NCT.004 | | |
| NCT.105 | | Non-Certified Radiologic Technician Registration | Registration information. Specific renewal/registration responses. | FE | 3 | | | | Formerly AIN NCT. 005 | | |
| NCT.106 | | Non-Certified Radiologic Technician Cancellation | Cancellation documentation (requests, affidavits, etc.) | FE | 3 | | | | Formerly AIN NCT.006 | | |
| NCT.107 | | Non-Certified Radiologic Technician Retirement | Retirement status documentation (requests, affidavits, etc.) | FE | 3 | | | | | | |
| NCT.108 | | Non-Certified Radiologic Technician Voluntary Charity Care | Voluntary Charity Care status documentation (request, affidavits, etc.) | FE | 3 | | | | | | |
| <i>Regulated Entities - NHPO and PMC</i> | | | | | | | | | | | |



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Retention Codes (field 7)

AC – See field 9 for specific records series definition
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Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist

| 1. Agency Code: 503 | | 2. Agency Name: Texas Medical Board | | | | | | | | | |
|----------------------------|---------------------------|--|--|--------------|---------------------|------|------|---|--|---------------------|--|
| 3. Agency Item No. | 4. Record Series Item No. | 5. Record Series Title | 6. Description | 7. Ret. Code | 8. Retention Period | | | 9. AC Definition | 10. Remarks | 11. Legal Citations | |
| | | | | | Years | Mont | Days | | | | |
| NPHO.101 | | Certification of Non-profit Health Organization Applications | | AC | 5 | | | AC = After certification or recertification of the organization. | Formerly AIN PH.005 | | |
| PMC.101 | | Pain Management Clinic Certificate - Active | Active applications | AC | | | | AC = Date most recent certification issued or renewed or denied, or application expires or withdrawn. | Becomes PMC.102, or PMC.103 Formerly AIN PMC.001 | | |
| PMC.102 | | Pain Management Clinic Certificate - Granted | Certificate files on those entities who were granted a certificate. After inspection, inspection files are included in this series. | AC | 20 | | | AC = Date most recent certification issued or renewed | PMC inspection files moved here after inspection is completed. Formerly AIN PMC.002 | | |
| PMC.103 | | Pain Management Clinic Certificate - Not Granted | Denied, or expired or withdrawn | AC | 20 | | | AC = Date certification denied or expires | Formerly AIN PMC.003 | | |
| <i>Surgical Assistant</i> | | | | | | | | | | | |
| SA.101 | | Surgical Assistant Licensure Applications - Active | Active applications | AC | | | | AC = Date license issued or denied, or application expires or withdrawn. | Becomes SA.102, SA.103, or SA.104 Formerly AIN SA.001 | | |
| SA.102 | | Surgical Assistant Licensure - Granted | Application files of those who were granted surgical assistant licensure | AC | 20 | | | AC = Date license issued | Formerly AIN SA.002 | | |
| SA.103 | | Surgical Assistant Licensure Applications - With Review | Denied, or expired or withdrawn (with review) | AC | 20 | | | AC = Date license denied or expired | Formerly AIN SA.003 | | |
| SA.104 | | Surgical Assistant Licensure Applications - Without Review | Denied, expired or withdrawn (without review) | AC | | 6 | | AC = Date application expires | Formerly AIN SA.004 | | |
| SA.105 | | Surgical Assistant Registration | Registration information. Specific renewal/registration responses. | FE | 3 | | | | Formerly AIN SA.005 | | |
| SA.106 | | Surgical Assistant Cancellation | Cancellation documentation (requests, affidavits, etc.) | FE | 3 | | | | Formerly AIN SA.006 | | |
| <i>Perfusionist</i> | | | | | | | | | | | |
| PF.101 | | Perfusionist Licensure Applications - Active | Active applications | AC | | | | AC = Date license issued or denied, or application expires or withdrawn. | Becomes PF.102 or PF.103 | | |



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 US – Until Superseded

Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
 R/O – Review by State/University Archivist

| 1. Agency Code: 503 | | 2. Agency Name: Texas Medical Board | | | | | | | | | |
|--------------------------------------|---------------------------|---|---|--------------|---------------------|-------|------|--|-----|----------------------------|---------------------|
| 3. Agency Item No. | 4. Record Series Item No. | 5. Record Series Title | 6. Description | 7. Ret. Code | 8. Retention Period | | | 9. AC Definition | 10. | 11. Remarks | 12. Legal Citations |
| | | | | | Years | Month | Days | | | | |
| PF.102 | | Perfusionist Licensure - Granted | Application files of those who were granted perfusionist licensure | AC | 20 | | | AC = Date license issued | | Formerly AIN PF.001 | |
| PF.103 | | Perfusionist Licensure - Not Granted | Denied, expired or withdrawn | AC | 5 | | | AC = Date license denied or expired | | | |
| PF.104 | | Perfusionist - Registration | Registration information. Specific renewal/registration responses. | FE | 3 | | | | | Formerly AIN PF.002 | |
| PF.105 | | Perfusionist - Cancellation | Cancellation documentation (requests, affidavits, etc.) | FE | 3 | | | | | Formerly AIN PF.003 | |
| PF.106 | | Perfusionist - Retirement | Retirement status documentation (requests, affidavits, etc.) | FE | 3 | | | | | Formerly AIN PF.004 | |
| PF.107 | | Perfusionist - Voluntary Charity Care | Voluntary Charity Care status documentation (request, affidavits, etc.) | FE | 3 | | | | | Formerly AIN PF.005 | |
| <i>Medical Physicist</i> | | | | | | | | | | | |
| MP.101 | | Medical Physicist Licensure Applications - Active | Active applications | AC | | | | AC = Date license issued or denied, or application expires or withdrawn. | | Becomes MP.102 or MP.103 | |
| MP.102 | | Medical Physicist Licensure - Granted | Application files of those who were granted medical physicist licensure | AC | 20 | | | AC = Date license issued | | Formerly AIN MP.001 | |
| MP.103 | | Medical Physicist Licensure - Not Granted | Denied, expired or withdrawn | AC | 5 | | | AC = Date license denied or expired | | | |
| MP.104 | | Medical Physicist - Registration | Registration information. Specific renewal/registration responses. | FE | 3 | | | | | Formerly AIN MP.002 | |
| MP.105 | | Medical Physicist - Cancellation | Cancellation documentation (requests, affidavits, etc.) | FE | 3 | | | | | Formerly AIN MP.003 | |
| <i>Respiratory Care Practitioner</i> | | | | | | | | | | | |
| RCP.101 | | Respiratory Care Practitioner Licensure Applications - Active | Active applications | AC | | | | AC = Date license issued or denied, or application expires or withdrawn. | | Becomes RCP.102 or RCP.103 | |
| RCP.102 | | Respiratory Care Practitioner Licensure - Granted | Application files of those who were granted respiratory care practitioner licensure | AC | 20 | | | AC = Date license issued | | Formerly AIN RCP.001 | |



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Retention Codes (field 7)

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Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist

| 1. Agency Code: 503 | | 2. Agency Name: Texas Medical Board | | | | | | | | | |
|--|---------------------------|---|---|--------------|---------------------|------|------|--|-----|--|---------------------|
| 3. Agency Item No. | 4. Record Series Item No. | 5. Record Series Title | 6. Description | 7. Ret. Code | 8. Retention Period | | | 9. AC Definition | 10. | 11. Remarks | 12. Legal Citations |
| | | | | | Years | Mont | Days | | | | |
| RCP.103 | | Respiratory Care Practitioner Licensure - Not Granted | Denied, expired or withdrawn | AC | 5 | | | AC = Date license denied or expired | | | |
| RCP.104 | | Respiratory Care Practitioner - Registration | Registration information. Specific renewal/registration responses. | FE | 3 | | | | | Formerly AIN RCP.002 | |
| RCP.105 | | Respiratory Care Practitioner - Cancellation | Cancellation documentation (requests, affidavits, etc.) | FE | 3 | | | | | Formerly AIN RCP.003 | |
| RCP.106 | | Respiratory Care Practitioner - Retirement | Retirement status documentation (requests, affidavits, etc.) | FE | 3 | | | | | Formerly AIN RCP.005 | |
| RCP.107 | | Respiratory Care Practitioner - Inactive | Inactive status documentation (requests, affidavits, etc.) | FE | 5 | | | | | FE+5 years (length of time Inactive is allowed by statute) Formerly AIN RCP.004 | |
| RCP.108 | | Respiratory Care Practitioner - Voluntary Charity Care | Voluntary Charity Care status documentation (request, affidavits, etc.) | FE | 3 | | | | | Formerly AIN RCP.006 | |
| <i>Medical Radiologic Technologist</i> | | | | | | | | | | | |
| MRT.101 | | Medical Radiologic Technologist Licensure Applications - Active | Active applications | AC | | | | AC = Date license issued or denied, or application expires or withdrawn. | | Becomes MRT.102 or MRT.103 | |
| MRT.102 | | Medical Radiologic Technologist - Licensing Files | | AC | 20 | | | AC = Date license issued | | Formerly AIN MRT.001 | |
| MRT.103 | | Medical Radiologic Technologist Licensure - Not Granted | Denied, expired or withdrawn | AC | 5 | | | AC = Date license denied or expired | | | |
| MRT.104 | | Medical Radiologic Technologist - Registration | Registration information. Specific renewal/registration responses. | FE | 3 | | | | | Formerly AIN MRT.002 | |



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Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
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| 1. Agency Code: 503 | | 2. Agency Name: Texas Medical Board | | | | | | | | | |
|--|---------------------------|--|---|--------------|---------------------|------|------|--|-----|--|---------------------|
| 3. Agency Item No. | 4. Record Series Item No. | 5. Record Series Title | 6. Description | 7. Ret. Code | 8. Retention Period | | | 9. AC Definition | 10. | 11. Remarks | 12. Legal Citations |
| | | | | | Years | Mont | Days | | | | |
| MRT.105 | | Medical Radiologic Technologist - Cancellation | Cancellation documentation (requests, affidavits, etc.) | FE | 3 | | | | | Formerly AIN MRT.003 | |
| MRT.106 | | Medical Radiologic Technologist - Retirement | Retirement status documentation (requests, affidavits, etc.) | FE | 3 | | | | | Formerly AIN MRT.004 | |
| MRT.107 | | Medical Radiologic Technologist - Voluntary Charity Care | Voluntary Charity Care status documentation (request, affidavits, etc.) | FE | 3 | | | | | Formerly AIN MRT.005 | |
| Agency Records Related to Enforcement | | | | | | | | | | | |
| EN.101 | | Enforcement History | Database includes current and historical information maintained on each complaint from date received through its resolution, including compliance monitoring. | PM | | | | | | Formerly AIN EN.030 | |
| EN.102 | | Investigation Files - Active (On or after 1/1/19) | This series begins with a complaint received about an individual or entity that is or should be regulated by the agency and continues until closed with a valid disposition code. | AC | | | | AC = Date closed with a valid disposition code. If closed: NJ - becomes EN.103 NJF - becomes EN.104 DI - becomes EN.105 All other dispositions, destroyed at AC (see EN.201 for list). | | For all other dispositions, this is series is known as the "pristine investigation file" when the case receives a litigation case number. <i>Note 4: Records are confidential as required by one of the following sections of the Medical Practice Act, Occupations Code §§ 153.006, 154.053, 155.00, 155.008, 155.055, 155.058, 159.003, 160.005, 160.006, and/or 160.007.</i> | |
| EN.103 | | Investigation Files - Closed - Non-Jurisdictional (On or after 1/1/19) | Only the key retention documents from the Investigation Files (EN.102) are moved to this series and all remaining documents are destroyed under EN.102. | AC | 1 | | | AC = Fiscal year of the date the complaint is determined to be non-jurisdictional. | | | |
| EN.104 | | Investigation Files - Closed - Jurisdictional Not Filed (On or after 1/1/19) | Only the key retention documents from the Investigation Files (EN.102) are moved to this series and all remaining documents are destroyed under EN.102. | AC | 7 | | | AC = Fiscal year of the date of board meeting where closure as jurisdictional not filed is approved. | | | |



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Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
 R/O – Review by State/University Archivist

| 1. Agency Code: 503 | | 2. Agency Name: Texas Medical Board | | | | | | | | | |
|----------------------------|---------------------------|---|--|--------------|---------------------|------|------|--|-----|--|---------------------|
| 3. Agency Item No. | 4. Record Series Item No. | 5. Record Series Title | 6. Description | 7. Ret. Code | 8. Retention Period | | | 9. AC Definition | 10. | 11. Remarks | 12. Legal Citations |
| | | | | | Years | Mont | Days | | | | |
| EN.105 | | Investigation Files - Closed - Dismissed After Investigation (On or after 1/1/19) | Only the key retention documents from the Investigation Files (EN.102) are moved to this series and all remaining documents are destroyed under EN.102. | AC | 10 | | | AC = Fiscal year of the date of board meeting where closure as dismissed after investigation is approved. | | | |
| EN.106 | | Office-Based Anesthesia - Inspection Form | Inspection Form | AC | 20 | | | AC = Fiscal year of the date the inspection was completed | | OBA inspections are on a 4 year cycle. Five cycles of OBA forms are available. | |
| EN.107 | | Office-Based Anesthesia - Inspection Documentation | All inspection records, excluding the inspection form (EN.106) | AC | 5 | | | AC = Fiscal year of the date the inspection was completed | | | |
| EN.201 | | Litigation Files - Active (On or after 1/1/19) | This series begins when acopy of the "pristine investigation file" is assigned a litigation case number and is modified as needed through the litigation process. Also, includeds remedial plans offered during the investigative process. | AC | | | | AC = Becomes EN.203 on: (1) Date board approves a resolution by: Remedial plan Dismissed at hearings (DH) Agreed Order after ISC Agreed Order after SOAH OR (2) Final appellate resolution of a court case | | | |
| EN.202 | | Attorney Notes, Drafts and Working Papers | Materials prepared by or for an attorney in the course of business that include handwritten notes, draft documents, research, and working papers that are not essential to the fulfillment of statutory obligations or to document agency functions. | AV | | | | AV = To be reviewed annually. | | | |



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Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist

| 1. Agency Code: 503 | | 2. Agency Name: Texas Medical Board | | | | | | | | | |
|----------------------------|---------------------------|--|---|--------------|---------------------|------|------|--|-----|---|---------------------|
| 3. Agency Item No. | 4. Record Series Item No. | 5. Record Series Title | 6. Description | 7. Ret. Code | 8. Retention Period | | | 9. AC Definition | 10. | 11. Remarks | 12. Legal Citations |
| | | | | | Years | Mont | Days | | | | |
| EN.203 | | Litigation Files - Closed (On or after 1/1/19) | Only the key retention documents from the Litigation Files - Active (EN.201) are moved to this series and all remaining documents are destroyed under EN.201. | AC | 20 | | | AC = Fiscal year of the date the Litigation Files - Active becomes EN.203 | | | |
| EN.204 | | Enforcement Files - SB 202 License Types - Transferred from DSHS | Enforcement files on closed cases transferred from DSHS that had not met their retention period related to Perfussionists, Medical Physicist, Respiratory Care Practitioner, and Medical Radiologic Technologist. | AC | 5 | | | AC = 8/31/16 | | Formerly AIN EN.036 | |
| EN.301 | | Remedial Plans and Board Orders | Signed originals of remedial plans and board orders. | PM | | | | | | | |
| EN.302 | | National Practitioner Data Bank Records | Records that support the required reporting to the NPDB. | AC | 1 | | | AC = End of period subject to audit. | | Formerly AIN EN.014 | |
| EN.303 | | National Practitioner Data Bank Audit Reports/Packets | Audit reports and original records that were identified as non-compliant. | AC | 1 | | | AC = All non-compliant issues resolved. | | This record series includes the audit report, the original records identified as non-compliant and records supporting corrective actions. | |
| EN.304 | | Federation of State Medical Board Reports | Documents used to transmit and support reporting of board actions to the FSMB. | CY | 1 | | | | | Original documents that are part of another series remain in and are retained for the period specified by that series. | |
| EN.305 | | Federation of State Medical Board Reporting Verification | Documents received from FSMB, and documents identifying, supporting, and correcting any reporting errors. | AC | 1 | | | AC = Verification complete. | | Original documents that are part of another series remain in and are retained for the period specified by that series. | |
| EN.401 | | Compliance Files (On or after 1/1/19) | Documents used to monitor respondents compliance with remedial plans or board orders and, when appropriate, to document non-compliance. | AC | 1 | | | AC = Fiscal year of the final termination order or in which the plan or order expired by its terms . | | | |
| EN.501 | | Expert Panel Member and Billing Consultant Information | Includes contracts, questionnaire and personal election form. | AC | 4 | | | AC = Fiscal year in which a person ceases to be a panel member or consultant. | | Formerly AIN EN.031 | |



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Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
 R/O – Review by State/University Archivist

| 1. Agency Code: 503 | | 2. Agency Name: Texas Medical Board | | | | | | | | | |
|----------------------------|---------------------------|---|--|--------------|---------------------|------|------|--|-----|---------------------|---------------------|
| 3. Agency Item No. | 4. Record Series Item No. | 5. Record Series Title | 6. Description | 7. Ret. Code | 8. Retention Period | | | 9. AC Definition | 10. | 11. Remarks | 12. Legal Citations |
| | | | | | Years | Mont | Days | | | | |
| EN.502 | | Chart Monitor Information | Includes contracts and personal election form. | AC | 4 | | | AC = Fiscal year in which a person ceases to be a chart monitor. | | Formerly AIN EN.032 | |
| EN.503 | | Physician Professional Liability Suits and Claims Files | Professional liability suits or claims filed against physicians. | AV | | | | AV = To be received annually. | | Formerly AIN EN.033 | |
| EN.504 | | Enforcement reports, studies, and work papers | Queries the Enforcement History (EN.101) database that are used to support other records series. Query results will be destroyed at the end of the retention period, but can be recreated at any time. | AV | | | | | | Formerly AIN EN.035 | |



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Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
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| 1. Agency Code: 503 | | 2. Agency Name: Texas Medical Board | | | | | | | | |
|--|---------------------------|--|---|--------------|---------------------|------|------|---|---|---------------------|
| 3. Agency Item No. | 4. Record Series Item No. | 5. Record Series Title | 6. Description | 7. Ret. Code | 8. Retention Period | | | 9. AC Definition | 10. Remarks | 12. Legal Citations |
| | | | | | Years | Mont | Days | | | |
| Enforcement Records Series Being Phased Out | | | | | | | | | | |
| EN.001 | | Investigation Files - Active (Opened before 1/1/19) | This series begins with a complaint received about an individual or entity that is or should be regulated by the agency and continues until closed with a valid disposition code. | AC | | | | AC = Date closed with a valid disposition code. | If closed RH, files become EN.002; all other dispositions become EN.003. <i>Note 4: Records are confidential as required by one of the following sections of the Medical Practice Act, Occupations Code §§ 153.006, 154.053, 155.00, 155.008, 155.055, 155.058, 159.003, 160.005, 160.006, and/or 160.007.</i> | |
| EN.002 | | Investigation Files - Closed as RH or Remedial Plan (Closed before 1/1/19) | Closed - RH (Prior to 2006, included all dispositions) | AC | 20 | | | AC = Fiscal year in which the litigation case was resolved. | <i>Note 4: Records are confidential as required by one of the following sections of the Medical Practice Act, Occupations Code §§ 153.006, 154.053, 155.00, 155.008, 155.055, 155.058, 159.003, 160.005, 160.006, and/or 160.007. 106 No. #90-503-001</i> Refer to EN.201 for resolution types | |
| EN.003a | | Investigation Files - Closed NJ (Closed Before 1/1/19) | Case closed with NJ resolution. | AC | 1 | | | AC =Fiscal year in which the case was resolved. | Formerly AIN EN.003 | |
| EN.003b | | Investigation Files - Closed JNF (Closed Before 1/1/19) | Case closed with JNF resolution. | AC | 7 | | | AC =Fiscal year in which the case was resolved. | Formerly AIN EN.003 | |
| EN.003c | | Investigation Files - Closed DI (Closed Before 1/1/19) | Case closed with DI resolution. | AC | 10 | | | AC =Fiscal year in which the case was resolved. | Formerly AIN EN.003 | |



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Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist

| 1. Agency Code: 503 | | 2. Agency Name: Texas Medical Board | | | | | | | | | |
|--|---------------------------|--|---|--------------|---------------------|------|------|--|-----|--|---------------------|
| 3. Agency Item No. | 4. Record Series Item No. | 5. Record Series Title | 6. Description | 7. Ret. Code | 8. Retention Period | | | 9. AC Definition | 10. | 11. Remarks | 12. Legal Citations |
| | | | | | Years | Mont | Days | | | | |
| EN.010 | | Litigation Files - Active (Opened before 1/1/19) | This series begins when acopy of the "pristine investigation file" is assigned a litigation case number and is modified as needed through the litigation process. Also, includeds remedial plans offered during the investigative process. | AC | | | | AC = Becomes EN.011 on the date the case was resolved. | | <i>Note 4: Records are confidential as required by one of the following sections of the Medical Practice Act, Occupations Code §§ 153.006, 154.053, 155.00, 155.008, 155.055, 155.058, 159.003, 160.005, 160.006, and/or 160.007.</i> | |
| EN.011 | | Litigation Files - Closed (Closed before 1/1/19) | Combines all litigation files closed by any resolution (remedial plan, dismissed at hearings, agreed orders, orders resulting from SOAH or court cases) before 1/1/19. Also, includeds remedial plans offered during the investigative process. | AC | 20 | | | AC = Fiscal year in which the case was resolved. | | Combines former AINs EN.012, EN.013, EN.005, and EN.006. <i>106 No. #90-503-015 106 No. #06-503-023</i> | |
| EN.020 | | Compliance Files (Before 1/1/19) | Documents used to monitor respondents compliance with remedial plans or board orders and, when appropriate, to document non-compliance. | AC | 1 | | | AC = Resolved by final termination order or expired by terms of the order. | | Prior to 2006, compliance files were interfiled with former AIN EN.005 (now AIN EN.011) and will be destroyed when the retention period for EN.011 is met. <i>106 No. 96-503-015.</i> <i>Note 4: Records are confidential as required by one of the following sections of the Medical Practice Act, Occupations Code §§ 153.006, 154.053, 155.00, 155.008, 155.055, 155.058, 159.003, 160.005, 160.006, and/or 160.007.</i> | |
| Records Related to the Physician Health Program | | | | | | | | | | | |
| PHP-003 | 1.1.006 | Complaint Records | Complaints received by an agency from the public concerning the agency and records pertaining to the resolution of the complaint. | AC | 2 | | | AC = Final disposition of the complaint. | | CAUTION: If a complaint becomes the subject of litigation, it must be included in and is subject to the minimum retention period of item number 1.1.048. | |



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Retention Codes (field 7)

AC – See field 9 for specific records series definition
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Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist

| 1. Agency Code: 503 | | 2. Agency Name: Texas Medical Board | | | | | | | | | |
|---------------------|---------------------------|--|---|--------------|---------------------|------|------|--|-----|--|------------------------------|
| 3. Agency Item No. | 4. Record Series Item No. | 5. Record Series Title | 6. Description | 7. Ret. Code | 8. Retention Period | | | 9. AC Definition | 10. | 11. Remarks | 12. Legal Citations |
| | | | | | Years | Mont | Days | | | | |
| PHP-004 | 1.1.007 | Correspondence - Administrative | Incoming/outgoing and internal correspondence pertaining to the formulation, planning, implementation, interpretation, modification, or redefinition of the programs, services, or projects of an agency and the administrative regulations, policies, and procedures that govern them. | | 4 | | | | R | Note 1: Agency will submit records for archival review when the retention period is met. ARCHIVES NOTE: Archival review only required of administrative correspondence of executive staff, board members, division directors, and program heads. CAUTION: This records series and item number 1.1.008 should be used only for correspondence that is not included in or directly related to another records series on the agency's approved schedule. | |
| PHP-005 | 1.1.008 | Correspondence - General | Non-administrative incoming/outgoing and internal correspondence, in any media, pertaining to or arising from the routine operations of the policies, programs, services, or projects of an agency. | | 2 | | | | | SEE comment to item number 1.1.007. Note: Correspondence directly related to another record series is filed under the appropriate specific record series. | |
| PHP-007 | 1.1.014 | Legal Opinions and Advice | From agency legal counsel or the Attorney General, including any requests eliciting the opinions. | AV | | | | | R | CAUTION: Does not include legal opinions or advice rendered on a matter in litigation or with regard to pending litigation. SEE item number 1.1.048. | |
| PHP-009 | 1.1.020 | Public Information Requests - Not Exempted | Includes all correspondence and documentation relating to requests for records that are furnished to the public under Public Information Act (Chapter 552, Government Code). | AC | 1 | | | AC = Date request fulfilled. | | | Chapter 552, Government Code |
| PHP-010 | 1.1.021 | Public Information Requests - Exempted | Includes all correspondence and documentation relating to requests for records that are exempt under the Public Information Act (Chapter 552, Government Code). | AC | 2 | | | AC = Date of notification that records are exempt. | | | Chapter 552, Government Code |



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| | | | | | Years | Mont | Days | | | | |
| PHP-013 | 1.1.048 | Litigation Files | Records created by or on behalf of an agency in anticipation of or in the adjudication of a lawsuit. | AC | 1 | | | AC = As applicable, decision of an agency not to file a lawsuit or decision that a lawsuit will not be filed against it on a matter; dismissal of a lawsuit for want of prosecution or on motion of the plaintiff; or final decision of a court (or of a court on appeal, if applicable) in a lawsuit. | R | Cases that set legal precedent or exhibit historical value will be evaluated by the Archives and Information Services Division of the TSLAC for archival preservation. | |
| PHP-017 | 1.1.058 | Meeting Agenda and Minutes | Official agenda and minutes of state boards, committees, commissions, and councils that conduct open meetings as required by Government Code, Chapter 551. | PM | | | | | A | ARCHIVES NOTE: Agency retains permanent record copy. The archival requirement will be met by sending a copy to the Archives and Information Services Division, Texas State Library and Archives Commission. CAUTION: This records series and item numbers 1.1.059, 1.1.060, 1.1.061, and 1.1.062 must be used for those state boards, which by law, are administered by another state agency. | Government Code, Chapter 551. |
| PHP-018 | 1.1.059 | Meetings, Certified Agendas or Tape Recordings of Closed | Certified agendas or tape recordings of closed meetings of state boards, commissions, committees, and councils. | AC | 2 | | | AC = The date of the meeting or completion of pending action involving the meeting, whichever is later. | | SEE caution comment at item number 1.1.058. | Government Code, 551.104(a). |
| PHP-019 | 1.1.061 | Meeting - Notes | Notes taken during open meetings of state boards, commissions, committees, and councils from which written minutes are prepared. | AC | | | 90 | AC = Approval of the formal minutes by the governing body. | | SEE caution comment at item number 1.1.058. | |



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| | | | | | Years | Mont | Days | | | | |
| PHP-020 | 1.1.062 | Meetings - Supporting Documentation | Documents submitted at meetings of state boards, commissions, committees, and councils including exhibit items, documentation for agenda items, etc. Includes documents sent in advance of meetings for briefing purposes, some of which may not be submitted at an actual meeting. | AC | 2 | | | | A | SEE caution comment at item number 1.1.058. | |
| PHP-037 | 2.1.002 | Master Files | Relatively long-lived computer files containing organized and consistent sets of complete and accurate electronic records. Examples include, but are not limited to, data tables of relational databases used by applications or computer programs. | AC | | | | AC = Completion of 3rd verification cycle, or audit completion confirming successful transaction updates, or required audit trail maintenance, or the ability to restore or migrate when errors are detected or when hardware or software changes occur. | | <i>Note 2: Agency will ensure that all audit requirements have been fulfilled prior to final disposition.</i> | |



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| | | | | | Years | Mont | Days | | | |
| PHP-038 | 2.1.009 | Technical Documentation | Records adequate to specify all technical characteristics necessary for reading or processing of electronic records and their timely, authorized disposition including documentation describing how a system operates and necessary for using the system such as user guides, system or sub-system definitions, system specifications, input and output specifications, and system flow charts; program descriptions and documentation such as program flowcharts, program maintenance logs, change notices, and other records that document modifications to computer programs; and data documentation necessary to access, retrieve, manipulate, and interpret data in an automated system such as a data element dictionary, file layout, code book or table, and other records that explain the meaning, purpose, structure, logical relationships, and origin of the data elements. | AC | | | | AC = Until electronic records are transferred to and made usable in a new hardware or software environment with new documentation or there are no electronic records being retained to meet an approved retention period that require the documentation to be retrieved and read. | Note 2: Agency will ensure that all audit requirements have been fulfilled prior to final disposition. CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records. | 13 TAC 6.94. |
| PHP-039 | 2.1.010 | Audit Trail Records | Files needed for electronic data audits such as files or reports showing transactions accepted, rejected, suspended, and/or processed; history files/tapes; records of on-line updates to application files or security logs. | AC | | | | AC = All audit requirements have been met. | | |
| PHP-114 | | Program Referrals and Participants | Program referrals and all related forms, correspondence, reports, agreements, documents, and disposition | AC | 75 | | | AC = Date of Referral for an individual who is a potential applicant, applicant, or licensee of the TMB. | Date of Referral - Date PHP is notified of a person who may need to be evaluated or to participate in the program. NOTE 3: Documents are confidential IAW Ch. 167, Medical Practices Act | Ch. 167, Medical Practices Act |



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| Code | Definition | Code | Definition | Code | Definition |
|------|--------------------------|------|-------------------------------------|------|-------------------------------|
| AC | Acupuncturists | IT | Information Technology | PIT | Physician-in-Training |
| AS | Acudetox Specialists | LIC | Licensure | PMC | Pain Management Clinic |
| CA | Central Administration | MP | Medical Physicist | PHP | Physicians Heath Program |
| EN | Enforcement | MRT | Medical Radiologic Technologist | PI | Public Information |
| EX | Executive Administration | NCT | Non-certified Radiologic Technician | PMC | Pain Management Clinic |
| FI | Finance | PA | Physician Assistant | RCP | Respiratory Care Practitioner |
| GC | General Counsel | PF | Perfusionist | RR | Records Retention |