

August 23, 2022



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

Dear Ms. Taurie Sloan,

**Amendment 2** of the 9th recertification of your agency's records retention schedule is approved for use as of **8/16/2022** and may be accessed on our website at <https://www.tsl.texas.gov/slrn/state/schedules>. Please maintain this amendment with your currently approved schedule so that it can be easily referenced.

We appreciate your efforts in maintaining an up-to-date schedule. Making additions and changes to your schedule as you identify them not only ensures the integrity of your recordkeeping practices, but keeps your agency in compliance with state rules (13 TAC §6.4) requiring the submission of any needed amendments to a retention schedule during its certification period to keep the information in the schedule current.

We will notify you of the date your schedule is due for recertification. Any additional approved amendments to your schedule, such as this one, should be incorporated into your main retention schedule prior to submitting it for recertification.

Thank you again for your commitment to complying with state records management laws and regulations. If we can provide any assistance to you, please contact the Government Information Analyst assigned to your agency:

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](http://www.tsl.texas.gov)

*Commission Chair*  
Martha Wong

*Members*  
David C. Garza  
F. Lynwood Givens  
David Iglesias  
Arthur T. Mann  
Bradley S. Tegeler  
Darryl Tocker

*Director and Librarian*  
Gloria Meraz

Anne Poulos  
(512) 463-6627  
[apoulos@tsl.texas.gov](mailto:apoulos@tsl.texas.gov)

Sincerely,

A handwritten signature in blue ink, appearing to read "C. 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 Taurie Sloan

Name (Print or type) Taurie Sloan

Date 7-21-2022

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

Not Required at This Time

Name (Print or type)

Date

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

8/16/2022

Cert/Recert No.

9

Amendment No.

2

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# CAUTION

A state record with an expired retention period 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 with a retention period that 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.

Amendment Note: If this schedule is amended at any point after certification, updated records series will be indicated by an asterisk (\*) preceding the Agency Item Number (AIN).

State and Local Records Management Division  
Texas State Library and Archives Commission  
(Rev. 7/20)





**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  
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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				
<b>Category 1 - Administrative Records / Section 1.1 General</b>											
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	<b>Vital Record</b> <i>Note 1: Agency will submit records for archival review when the retention period is met.</i> 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. 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.	
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, marketing files and collateral, or any public relations files maintained or issued by an agency. Includes print, electronic, audio, and audiovisual records.	FE	2				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: (1) exempt under the Public Information Act (Chapter 552, Government Code), including records provided to the legislature under section 552.008 OR (2) provided to a legislator and/or legislative committee as authorized by the Medical Practice Act (§154.055, Occupations Code).	AC	2			AC= (1) Date of notification that records are exempted under Chapter 552, Government Code. OR (2) Date information is provided and follow-up questions are answered as authorized by the Medical Practice Act (§154.055, Occupations Code).		PI.007 (formerly AIN. CA.005) merged with PI.003.	(1) Government Code, Chapter 552. (2) Occupations Code, §154.055.



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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							
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. <b>Note:</b> 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. <b>Note:</b> 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.			
*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	2			AC= End of event, until superseded, or obsolete.	R	ARCHIVES NOTE: Only speeches, papers, and presentations given by or on behalf of executive staff, board or commission members, division directors and program heads require archival review.	



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*GC.016	1.1.043	Training Materials	Instructional materials and other records developed by an agency associated with training the entities or non-personnel individuals it regulates or serves, including but not limited to training manuals, course registration, class rosters, sign-in sheets, syllabuses, course outlines, and similar training aids used in external training programs.	AC	1			AC = Close of training session, after training materials superseded, or termination of training program, as applicable.		Includes board training manuals and presentations, and outreach handouts and presentations that are superseded each fiscal year. See AIN HR.026 for internal personnel training materials.	
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.</i> 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.	
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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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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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.	
*EX.007		Board Appointee Packet	Documents created by Board Coordinator for new Board appointees; includes training certifications, New Hire form, Public Access form, and Appointment letter.	AC	5			AC = upon completion of term			Occ.Code Ann. 163.001-.005
*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.	FE	3					<b>Vital Record</b> 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. <b>CAUTION:</b> The FE + 3 retention period overrides any shorter retention period for a records series in this schedule if the records series is needed for documentation of agency performance measures.	



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*CA.010	1.1.067	Reports and Studies (Non-Fiscal)	Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities. Includes the Licensure Report required by HB1973.		3				R	<i>Note 1: Agency will submit records for archival review when the retention period is met.</i> ARCHIVES NOTE: Reports are archival when they deal with significant aspects of the agency's programs. For agencies that have had an archival appraisal, separate this records series by each type of archival coding, A, R, or E.	
*GC.001	1.1.070	Board Rules	Administrative rules distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules that govern an agency's programs, services, or projects. Includes working files and related documentation used in creating rules. Current rules in effect and historical copies of any rules that have been changed in the last three years.	AC	3			AC= Until superseded, or termination of program or rules, whichever is applicable.	E	<i>Vital Record</i> 106 No. #96-503-017 106 No. #11-503-025  <i>Access to adopted final rules is provided in the Texas Register and Texas Administrative Code.</i>  ARCHIVES NOTE: Working files and related documentation (including rule reviews) used in creating the final rules may be disposed of at the expiration of the retention period.	
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.		<b>Vital Record</b> SEE ALSO Agency Policies and Procedures - Working Files, CA.019.	
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



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CA.011	1.1.074	Sunset Review Report and Documentation		AC	3			AC = After the 2nd subsequent Sunset Review.	R	Note 1: Agency will submit records for archival review when the retention period is met.	
<b>Category 1 - Administrative Records / Section 1.2 Records Management</b>											
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.	
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 of form RMD 106 granting a state agency the authorization to store records at the State Records Center.	AV						RMD 106 is no longer used, but forms for series currently stored at the Records Center should be retained.	



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					Years	Mont	Days				
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.			
<b>Category 1 - Administrative Records / Section 1.3 State Publications</b>											
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>	
<b>Category 2 - Electronic Data Processing Records</b>											



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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		<b>Vital Record</b> <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.	
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.		<b>Vital Record</b> 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



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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.	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
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						
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.	





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IT.008	2.2.016	Software Registrations, Warranties and License Agreements		LA	3						
<b>Category 3: Personnel Records / Section 3.1 - Employee</b>											
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			
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.		<i>Note: Any counseling that involves a medical issue or a substance abuse problem must be kept confidential.</i>	
*HR.005	3.1.011	Employee Benefits	Agency copies of information relating to the selection by employees of life, disability, health, vision, dental, disability, and other types of insurance or benefits offered by the State of Texas to its employees.	AC				AC = Until superseded or termination of employment.		<i>Note: Employee benefits and benefit replacement pay (BRP) selections are made by employees through the ERS website or CAPPs. TMB only retains copies relating to the selection of benefits, when HR staff must make entries on an employee's behalf. TMB assumes the record is superseded during the next open enrollment or selection period when the employee retains the current selections or initiates a change.</i>	



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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							<b>Vital Record</b> 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				<b>Vital Record</b> CAUTION: Does not include formal complaints filed by an agency with the EEO of the US Department of Labor. See Item 1.1.048.		
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.		



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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.		<b>Vital Record</b>	
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		<b>Vital Record</b> 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.	
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	Federal reporting form (Form I-9).	AC				AC= 3 years after date of hire or 1 year after termination of employment, whichever is later.		<b>Vital Record</b>	8 CFR 274a.2(b)(2)(i)(A) and (c)(2).



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HR.017	3.1.037	Employee Recognition Records	Awards, incentives, tenure, etc.	AC	5			AC = Termination of employment			
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			
<b>Category 3: Personnel Records / Section 3.2 - Payroll</b>										
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.	<b>Vital Record</b>	
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.	<b>Vital Record</b>	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.	<b>Vital Record</b> 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						<b>Vital Record</b> 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.	
<b>Category 3: Personnel Records / Section 3.3 - Personnel Administration</b>											
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		<b>Vital Record</b> (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	AV							
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, competency, or skills tests and checklists required of job applicants or of current personnel to qualify for promotion or transfer, including validation records.	AC	2			AC= Until superseded or no longer used by agency.		<b>CAUTION:</b> One copy of each different master 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	Internal Training Administration Records	Records documenting the planning, development, implementation, administration and evaluation of in-house training programs, including but not limited to training manuals, course registration, class rosters, sign-in sheets, syllabuses, course outlines, and similar <u>training aids used in in-house training</u>	AC	2			AC = Close of training session, after training materials superseded, or termination of training program, as applicable.		See AIN GC.016 for external training records. See AIN HR.015 for individual employee training records.	
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 federal Equal Pay Act.		2						29 CFR 1620.32(c).



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<b>Category 3: Personnel Records / Section 3.4 - Time and Leave Reports</b>											
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						
<b>Category 4: Fiscal Records / Section 4.1 - Worksheets, Detail Information on Financial Event or Transactions</b>											





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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						
<b>Category 4: Fiscal Records / Section 4.2 - Documents of Original Entry</b>											
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						
<b>Category 4: Fiscal Records / Section 4.5 - Reports</b>											
*FI.073	4.5.002	Fiscal Management Reports	Internal and external periodic fiscal management reports and associated	FE	5					Series includes the agency's Non-financial Annual Report.	
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. <b>Note: Two AFRs have the same AC date.</b>	
FI.039	4.5.006	Annual Operating Budgets	Required by the General Appropriations Act.	FE	3					(Legislative Budget Board)	



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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.	
<b>Category 4: Fiscal Records / Section 4.6 - Documents Showing Compliance with Internal Control</b>											
FI.076	4.6.002	Reconciliations		FE	3						
<b>Category 4: Fiscal Records / Section 4.7 - Other Fiscal</b>											
FI.040	4.7.001	Accounting Policies and Procedures Manual		US	3					<b>Vital Record</b>	
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 an agency employee to initiate or authorize financial transactions on behalf of an agency.	AC	4			AC= Until superseded, date of expiration, or termination of employee, whichever sooner.			
<b>Category 5: Support Service Records / Section 5.1 - General</b>											
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.		<b>Vital Record</b>	
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						
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.		<b>Vital Record</b>	Government Code, 441.1855



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					Years	Mont	Days				
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						
<b>Category 5: Support Service Records / Section 5.2 - Facility Management</b>											
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				
<b>Category 5: Support Service Records / Section 5.3 - Purchasing</b>											
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.	
<b>Category 5: Support Service Records / Section 5.4 - Risk Management</b>											
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
<b>Category 5: Support Service Records / Section 5.6 - Vehicles</b>											



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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			
<b>Agency Records Related to General Council</b>											
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		FE	1					FE = Fiscal year in which the response is provided or determined that a	
GC. 008		Expunction Orders		FE	1						
*GC. 009		Notification to Law Enforcement/Other State Boards	Notification to other entities based upon TMB enforcement activity and any supporting information.	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						
<b>Agency Records Related to Licensure</b>											
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	
LIC.103		Continuing Education Audits	All relevant license/permit types	AC				AC = Audit closed		<i>Note 2: Agency will ensure that all audit requirements have been fulfilled prior to final disposition.</i> Formerly AIN PH.067	



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					Years	Mont	Days				
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	
*LIC.109		Approved Training Programs and Continuing Education Courses/Providers	Submitted applications along with all supporting documentation required for, but not limited to: CAE courses, CAE Providers, LMRT/NCT Programs, and Board Approved Fellowship Programs.	AC	5			AC = approval granted			RULE §183.20 Occ.Code Sec.A162.001. Occ.Code Sec.A601.001.
<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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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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					Years	Mont	Days				
<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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AS.106		Acudetox Specialist Cancellation	Cancellation documentation (requests, affidavits, etc.)	FE	3				Formerly AIN AS.006	



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					Years	Month	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>											
NPHO.101		Certification of Non-profit Health Organization Applications		AC	5			AC = After certification or recertification of the organization.		Formerly AIN PH.005	



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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		
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			



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A/I – Transfer to State/University Archivist  
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1. Agency Code: <b>503</b>		2. Agency Name: <b>Texas Medical Board</b>									
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				
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	
RCP.103		Respiratory Care Practitioner Licensure - Not Granted	Denied, expired or withdrawn	AC	5			AC = Date license denied or expired			



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					Years	Mont	Days				
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	
MRT.105		Medical Radiologic Technologist - Cancellation	Cancellation documentation (requests, affidavits, etc.)	FE	3					Formerly AIN MRT.003	





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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				
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	
<b>Agency Records Related to Enforcement</b>											
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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					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 copy of the "pristine investigation file" is assigned a litigation case number and is modified as needed through the litigation process. Also, includes 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 <b>OR</b> (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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					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	
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	



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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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					Years	Mont	Days			
<i>Enforcement Records Series Being Phased Out</i>										
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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					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</i> <i>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>		
<b>Records Related to the Physician Health Program</b>											
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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					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	<i>Note 1: Agency will submit records for archival review when the retention period is met.</i> 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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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.		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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1. Agency Code: <b>503</b>		2. Agency Name: <b>Texas Medical Board</b>								
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			
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

Code	Definition	Code	Definition	Code	Definition
AC	Acupuncturists	IT	Information Technology	PIT	Physician-in-Training



**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

1. Agency Code: <b>503</b>		2. Agency Name: <b>Texas Medical Board</b>						8. Retention Period			9. AC Definition		10.	11. Remarks	12. Legal Citations
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description				7. Ret. Code	Years	Mont	Days	9. AC Definition		10.	11. Remarks	12. Legal Citations
			<b>AS</b>	Acudetox Specialists	<b>LIC</b>	Licensure				<b>PMC</b>	Pain Management Clinic				
			<b>CA</b>	Central Administration	<b>MP</b>	Medical Physicist				<b>PHP</b>	Physicians Health Program				
			<b>EN</b>	Enforcement	<b>MRT</b>	Medical Radiologic Technologist				<b>PI</b>	Public Information				
			<b>EX</b>	Executive Administration	<b>NCT</b>	Non-certified Radiologic Technician				<b>PMC</b>	Pain Management Clinic				
			<b>FI</b>	Finance	<b>PA</b>	Physician Assistant				<b>RCP</b>	Respiratory Care Practitioner				
			<b>GC</b>	General Counsel	<b>PF</b>	Perfusionist				<b>RR</b>	Records Retention				
			<b>HR</b>	Human Resources	<b>PH</b>	Physician				<b>SA</b>	Surgical Assistant				