



November 29, 2016

Jo Gerke
Licensing Specialist
Executive Council of Physical Therapy and Occupational Therapy
333 Guadalupe, Ste. 2-510
Austin, TX 78701

Re: Agency records retention schedule amendment approved for use.

Dear Ms. Jo Gerke:

Amendment 1 to your agency's 4th recertification of your records retention schedule is approved for use as of November 21, 2016. Your currently approved records retention schedule and all amendments are available on our website at <https://www.tsl.texas.gov/slrn/state/schedules.html>. 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 regulations (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, Joshua Clark at 512-936-0270 or jclark@tsl.texas.gov.

Sincerely,

A handwritten signature in black ink, appearing to read "CK", written over a light blue horizontal line.

Craig Kelso
Director and State Records Administrator

cc: Agency head; State Auditor

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

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TSLAC

Preserving yesterday
Informing today
Inspiring tomorrow

533 JC



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 533

Agency Name ECPTOTE

(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 Candice N Harper

Name *(Print or type)* Candice N Harper

Date February 3, 2016

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 Donna Osborne

Name *(Print or type)* Donna Osborne

Date 11/21/16

Cert/Recert No. 4 Amendment No. 1

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

1. Agency Code:		2. Agency Name:											
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. Archival	11. Remarks	12. Legal Citations	13. N, C, O	14. Current AIN
					Years	Months	Days						
AD-37	1.1.061	Meeting – Notes		AC			90	AC=Approval of the formal minutes by the governing body.		SEE caution comment at item number 1.1.058		N	
AD-38	1.1.062	Meetings – Supporting Documentation			2				A	SEE caution comment at item number 1.1.058		N	
SS-14	5.1.015	Correspondence Tracking Records			1							N	

Retention Codes (Field 7)	Archival Codes (Field 10)	Code (Field 13)
AC – After closed, terminated, completed, expired, settled AV – Administratively valuable	CE – Calendar year end FE – Fiscal year end LA – Life of asset PM – Permanent US – Until Superseded	A/I – Transfer to State/University Archivist R/O – Review by State/University Archivist N – New C – Changed O – Obsolete



August 7, 2013

Ms. Rita Ybarra
Licensing Specialist
Executive Council of Physical Therapy and Occupational Therapy Examiners
333 Guadalupe, Ste. 2-510
Austin, TX 78701

RE: Executive Council of Physical Therapy and Occupational Therapy Examiners
Retention schedule approved for use

State and Local
Records Management

Dear Ms. Ybarra:

Enclosed is a copy of your recertified records retention schedule. Please ensure all old copies of the schedule are superseded with this recertified copy.

Your recertified retention schedule provides you with continuing authorization to dispose of agency records according to its terms. Please note that state regulations (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. We urge on you the importance of disposing of the records of your agency in a timely manner in accordance with the retention periods on your schedule. The destruction of any records of your agency not on your schedule requires special authorization from us.

During a certification period, state regulations (13 TAC §6.4) also require 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, contact the government information analyst assigned to your agency.

Your efforts in maintaining an up-to-date 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. Your schedule will be due for recertification on the last working day of **August 2016**. If you have any questions, call the information analyst assigned to your agency, Angela Ossar, at 512-463-6623.

Sincerely,

Craig Kelso
Director and State Records Administrator

Enclosure

cc: State Auditor, State Archivist
cc: (without enclosure) John P. Maline

P.O. Box 12927
Austin, Texas
78711.2927

4400 Shoal Creek Blvd.
Austin, Texas
78756

www.tsl.state.tx.us

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Interim
Director and Librarian
Edward Seidenberg

*Preserving yesterday,
informing today,
inspiring tomorrow.*

R01.533/533



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 533
Agency Name Executive Council of PT+DT Examiners

(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 Rita Ybarra
Name (Print or type) Rita Ybarra
Date 1-16-2013

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 Donna Osborne
Name (Print or type) Donna Osborne
Date 8/2/13

Cert/Recert No. 4 Amendment No.



STATE OF TEXAS Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 1 of 19

2. Agency Code 533		3. Agency Name Executive Council of Physical Therapy & Occupational Therapy Examiners							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				

4.1.001	AC-01	ACCOUNTSPAYABLE INFORMATION	FE+3		FE+3				
4.1.005	AC-02	INVENTORY & OTHER COST FILES	FE+3		FE+3				
4.2.001	AC-03	CASH DEPOSIT VOUCHERS	FE+3		FE+3		Includes cash deposit slips		
4.2.002	AC-04	CASH RECEIPTS	FE+1	2	FE+3				
4.2.003	AC-05	DAILY CASH RECEIPTS LOG	FE+1	2	FE+3				
4.2.005	AC-06	PURCHASE VOUCHERS	FE+1	2	FE+3				
4.2.006	AC-07	GENERAL JOURNAL VOUCHERS	FE+3		FE+3				
4.2.007	AC-08	EXPENDITURE VOUCHERS	FE+3		FE+3				
4.3.003	AC-09	EXPENDITURES JOURNAL (CASH DISBURSEMENTS)	FE+3		FE+3		Purchase Order Log		
4.4.001	AC-10	GENERAL AND SUBSIDIARY LEDGERS	FE+3		FE+3				
4.4.002	AC-11	ACCOUNTS RECEIVABLE LEDGERS	FE+3		FE+3				
4.4.003	AC-12	ACCOUNTSPAYABLE LEDGERS	FE+3		FE+3				

Retention Codes (Field 7)				Archival Codes (Field 8)	
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	A – Transfer to State Archives	
AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded	R – Review by State Archivist	



STATE OF TEXAS Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 2 of 19

2. Agency Code 533		3. Agency Name Executive Council of Physical Therapy & Occupational Therapy Examiners							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				

4.5.001	AC-25	WORKSHEETS FOR PREPARING FISCAL REPORTS	FE+3		FE+3				
4.5.002	AC-13	INTERNAL FISCAL MGMT. RPTS	FE+1	2	FE+3		Includes merit salary report		
4.5.003	AC-14	ANNUAL FINANCIAL REPORT	AC+6		AC+6		AC= September 1 of odd numbered calendar years.		
4.5.005	AC-15	EXTERNAL FISCAL REPORTS	FE+3		FE+3				
4.5.006	AC-16	OPERATING BUDGET	FE+3		FE+3				
4.6.001	AC-17	MONTHLY APPROPRIATIONS BALANCING	FE+1	2	FE+3				
4.6.002	AC-18	RECONCILIATIONS LOCKBOX DEPOSITS	FE+1	2	FE+3				
4.6.003	AC-19	CASH COUNTS/ BATCH RECONCILIATIONS	FE+1	2	FE+3				
4.7.001	AC-20	ACCT POLICIES & PROCEDURES MANUAL	US	3	US+3				

Retention Codes (Field 7)				Archival Codes (Field 8)	
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	A – Transfer to State Archives	
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STATE OF TEXAS Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 3 of 19

2. Agency Code	533	3. Agency Name	Executive Council of Physical Therapy & Occupational Therapy Examiners		
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4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				

4.7.004	AC-21	CAPITAL ASSETS- EQUIPMENT RECORDS	LA	3	LA+3				
4.7.006	AC-22	COMPTROLLER STATEMENTS & REPORTS	FE+1	2	FE+3				
4.7.007	AC-23	ANNUAL DETAIL CHART OF ACCTS	FE	3	FE+3		In Quarterly Budget Report #132		
4.7.011	AC-24	TEXAS FACILITIES COMMISSION (TFC) STATEMENTS	FE+3		FE+3				
5.1.004	AD-01	BOARD ADDRESSES & PHONE LIST	US		US				
1.1.004	AD-02	BIENNIAL BUDGET REQUESTS	AC+3	3	AC+6	A	AC= Sept 1 of odd numbered calendar years - Copy to Texas State Publications Depository Program, Texas State Library and Archives Commission		
1.1.006	AD-03	COMPLAINT RECORDS	AC+2		AC+2		AC=Final Disposition of the complaint		

<p>Retention Codes (Field 7)</p> <p>AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value</p> <p>CE – Calendar Year End FE – Fiscal Year End</p>	<p>Archival Codes (Field 8)</p> <p>A – Transfer to State Archives R – Review by State Archivist</p>
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STATE OF TEXAS Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 4 of 19

2. Agency Code 533		3. Agency Name Executive Council of Physical Therapy & Occupational Therapy Examiners							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				

1.1.007	AD-04	CORRESPONDENCE, ADMINISTRATIVE	FE+4		FE+4	R	Re development/ administration of agency policies, procedures, programs, and other major transactions. (Includes all correspondence with other agencies/ governmental entities and board members)		
1.1.008	AD-05	GENERAL CORRESPONDENCE	2		2				
1.1.010	AD-06	DIRECTIVES, ROUTINE	US+1		US+1				
1.1.011	AD-07	EXECUTIVE ORDERS	US+3		US+3	A	Documents that record significant changes or new agency policies, programs, procedures, etc		
1.1.013	AD-08	CALENDARS, APPOINTMENT AND ITINERARY BOOKS	CE+1		CE+1	R	Only records of elected official, executive staff, board, or commission members, division directors, and program head require archival review		

Retention Codes (Field 7)				Archival Codes (Field 8)	
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	A – Transfer to State Archives	
AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded	R – Review by State Archivist	



STATE OF TEXAS Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 5 of 19

2. Agency Code 533		3. Agency Name Executive Council of Physical Therapy & Occupational Therapy Examiners							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				
1.1.014	AD-09	LEGAL OPINIONS AND ADVICE	AV		AV	R	Opinions the agency requests		
1.1.057	AD-10	TRANSITORY INFORMATION	AC		AC		AC=Purpose of Record has been fulfilled including telephone message notifications		
1.1.058	AD-11	MEETING AGENDA AND MINUTES	PM		PM	A			
1.1.019	AD-12	PRESS RELEASES	2		2	R			
1.1.020	AD-13	PUBLIC INFORMATION REQUESTS- NOT EXEMPTED	AC+1		AC+1		AC=Date Request filled		
1.1.021	AD-14	PUBLIC INFORMATION REQUESTS- EXEMPTED	AC+2		AC+2		A C=Notification that records are exempted		
1.1.023	AD-15	ORGANIZATION CHARTS- ORIGINAL	US		US	A	Copy to The Texas State Library and Archives Commission.		
1.1.024	AD-16	PLANNING RECORDS	AC+3		AC+3	R	AC=Decision made to implement or not to implement result of planning process		

Retention Codes (Field 7)				Archival Codes (Field 8)	
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	A – Transfer to State Archives	
AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded	R – Review by State Archivist	



STATE OF TEXAS Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 6 of 19

2. Agency Code	533	3. Agency Name	Executive Council of Physical Therapy & Occupational Therapy Examiners		
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4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				

1.1.064	AD-17	AGENCY PERFORMANCE MEASURES DOCUMENTATION	FE+3		FE+3				
1.1.070	AD-18	AGENCY RULES, POLICIES, AND PROCEDURES-FINAL	AC+3		AC+3	R	AC=Completion or Termination of Program, Rules, Policies or Procedures. See also working files 1.1.071.		
1.1.071	AD-19	AGENCY RULES, POLICIES, AND PROCEDURES-WORKING FILES	AC+3		AC+3	R	AC=Completion or Termination of Program, Rules, Policies or Procedures. See item number 1.1.070		
1.1.026	AD-20	PROOFS OF PUBLICATIONS, TEXAS REGISTER	AC+1		AC+1		AC=Date of publication in Texas Register		
1.1.027	AD-21	PROPOSED LEGISLATION	AV		AV				
1.3.002	AD-22	PUBLICATION DEVELOPMENT FILES	AV		AV	R			

Retention Codes (Field 7)	Archival Codes (Field 8)
AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value CE – Calendar Year End FE – Fiscal Year End LA – Life of Asset MO – Months PM – Permanent US – Until Superseded	A – Transfer to State Archives R – Review by State Archivist



STATE OF TEXAS Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 7 of 19

2. Agency Code 533		3. Agency Name Executive Council of Physical Therapy & Occupational Therapy Examiners							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				

1.3.001	AD-23	PUBLICATIONS - RECORD COPY	AC+2		AC+2	AC=For those publications meant to be distributed in a first published version w/ o subsequent revision, the date decision is made within an agency to no longer make the publication available for distribution. Copy to the Texas State Publications Depository Program, Texas State Library and Archives Commission		
1.1.066	AD-24	REPORTS-ANNUAL & BIENNIAL	AC+6		AC+6	A AC=September 1 of odd numbered calendar years. Archival requirement is met by sending the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission		
1.1.067	AD-25	REPORTS and STUDIES-NON FISCAL	3		3	R		
1.1.069	AD-26	REPORTS - ACTIVITY	1		1			

Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	A – Transfer to State Archives			
AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded	R – Review by State Archivist			



STATE OF TEXAS Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 8 of 19

2. Agency Code 533		3. Agency Name Executive Council of Physical Therapy & Occupational Therapy Examiners							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				
1.1.038	AD-27	CUSTOMER SURVEYS	AC		AC		AC=Final disposition of summary report		
3.1.035	AD-28	EMPLOYEE SURETY BONDS	AC+4		AC+4		AC=Expiration of termination of the bond according to its terms		
1.1.043	AD-29	AGENCY TRAINING MANUAL/ MATERIALS	US+1		US+1				
3.3.023	AD-30	TRAVEL REQUESTS	FE+3		FE+3				
1.1.002	AD-31	AUDITS-INTERNAL/ EXTERNAL	AC+7		AC+7		AC=Publication or release of final audit findings. The record copy of an audit is retained permanently by the State Auditor's Office.		
1.1.068	AD-32	REPORTS-PERFORMANCE & FUNDS MGMT.	AC+6		AC+6		AC=September 1 of odd numbered years.		
1.1.060	AD-33	MEETINGS-AUDIOTAPES OF OPEN	AC+1		AC+1		AC=Official Approval of Meeting Minutes On Audio Tapes		

Retention Codes (Field 7)				Archival Codes (Field 8)	
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	A – Transfer to State Archives	
AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded	R – Review by State Archivist	



STATE OF TEXAS Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page **9** of **19**

2. Agency Code 533		3. Agency Name Executive Council of Physical Therapy & Occupational Therapy Examiners							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				
1.1.055	AD-34	STRATEGIC PLANS	AC+6		AC+6	A	AC=September 1 of odd numbered years. Copy to the Texas State Publications Depository Program, Texas State Library and Archives Commission.		
1.1.056	AD-35	ADA DOCUMENTATION (STAFF)	3		3		28 CFR 35.105		
1.1.048	AD-36	LITIGATION FILES	AC+1		AC+1	R	AC=As applicable, decision of an agency not to file a lawsuit or decision that a lawsuit will not be filed against or 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 court of appeals if applicable) in a lawsuit.		
2.2.011	DP-01	CASH BATCH/ DATA ENTRY FILES	AC		AC		AC=When reconciliation confirmed		
2.2.012	DP-02	BATCH REPORTS COMPUTER OUTPUT	AV+1	2	AV+3				

Retention Codes (Field 7)				Archival Codes (Field 8)	
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	A – Transfer to State Archives	
AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded	R – Review by State Archivist	



STATE OF TEXAS Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page **10** of 19

2. Agency Code 533		3. Agency Name Executive Council of Physical Therapy & Occupational Therapy Examiners							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				
2.1.008	DP-03	SYSTEMS/ COMPUTER DOCUMENTATION	AC		AC		AC=Until electronic records are transferred to and made usable in a new hardware environment or there are not electronic records being retained to meet an approved retention period that require the hardware to be retrieved and read. 13 TAC 6.94.		
2.1.007	DP-04	PROGRAMS & JOB CONTROL LANGUAGE	AC		AC		AC=Until electronic records are transferred to and made usable in a new software 13 TAC 6.94.		
3.1	HR-01	ACTIVE PERSONNEL FILES-These files contain Employee Contact Information, and Completed Training Certificates	AC+5		AC+5		AC=Until Termination of Employment		
3.1.001	HR-02	APPLICATIONS AND RESUMES- NOT HIRED	2		2		29 CFR 1602.31		
3.1.002	HR-03	APPLICATIONS FOR EMPLOYMENT HIRED	AC+5		AC+5		AC=Termination of Employment		

Retention Codes (Field 7)

AC – After Closed, Terminated, Completed, Expired, Settled
AV – Administrative Value

CE – Calendar Year End
FE – Fiscal Year End

LA – Life of Asset
MO – Months

PM – Permanent
US – Until Superseded

Archival Codes (Field 8)

A – Transfer to State Archives
R – Review by State Archivist



STATE OF TEXAS Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page **11** of 19

2. Agency Code 533		3. Agency Name Executive Council of Physical Therapy & Occupational Therapy Examiners							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				

3.1.006	HR-04	EMPLOYEE COUNSELING RECORDS	AC+3		AC+3	AC= Termination of Employment		
3.1.011	HR-05	EMPLOYEE INSURANCE RECORDS	AC		AC	AC= Until superseded or termination of employment		
3.1.012	HR-06	EMPLOYMENT ADVERTISEMENTS	2		2	29 CFR 1602.31		
3.1.013	HR-07	EMPLOYMENT CONTRACTS	AC+4		AC+4	AC= Until superseded or termination of employment		
3.1.014	HR-08	EMPLOYMENT SELECTION RECORD	2		2	29 CFR 1602.31		
3.1.018	HR-09	GRIEVANCE RECORDS	AC+2		AC+2	AC= Final decision of grievance		
3.1.019	HR-10	PERFORMANCE APPRAISALS	2		2	29 CFR 1620.32(c)		
3.1.021	HR-11	PERSONNEL DISCIPLINARY DOCUMENTATION	AC+5		AC+5	AC= Termination of employment		
3.1.022	HR-12	PERSONNEL ACTION FORMS	2		2	29 CFR 1602.31		
3.1.023	HR-13	POSITION/ JOB DESCRIPTIONS	AC+4		AC+4	AC= Until Superseded or job eliminated. 40 TAC 815.106(i)		

Retention Codes (Field 7)

AC – After Closed, Terminated, Completed, Expired, Settled
AV – Administrative Value

CE – Calendar Year End
FE – Fiscal Year End

LA – Life of Asset
MO – Months

PM – Permanent
US – Until Superseded

Archival Codes (Field 8)

A – Transfer to State Archives
R – Review by State Archivist



STATE OF TEXAS Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 12 of 19

2. Agency Code 533		3. Agency Name Executive Council of Physical Therapy & Occupational Therapy Examiners							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				

3.1.027	HR-14	TRAINING & EDUCATION DOCUMENTS	AC+5		AC+5	AC=Termination of employment		
3.1.029	HR-15	EMPLOYMENT ELIGIBILITY(INS 1-9)	AC+3		AC+3	AC=Termination of employment CAUTION: Federal regulation requires that INS 1-9 forms be retained 3 yrs from date of hire or 1 yr from date of separation, whichever is later.		
3.1.031	HR-16	EMPLOYEE BENEFITS-OTHER THAN INSURANCE	AC+3		AC+3	AC=Termination of employment		
3.2.001	HR-17	EMPLOYEE DEDUCTION AUTHORIZATIONS	AC+4		AC+4	AC=After termination of employee or after amendment, expiration, or termination of authorization, whichever is sooner.		
3.2.005	HR-18	W-4 FORMS	AC+4		AC+4	AC=Until Superseded, obsolete, or upon separation of employee. 26 CFR 31.6001-1(e) (2)		
3.2.008	HR-19	DIRECT DEPOSIT APPLICATION/ AUTHORIZATIONS	US		US			
3.2.009	HR-20	STATE DEFERRED COMPENSATION RECORDS	AC+5		AC+5	AC=All accounts with a vendor or vendors for individual participant have been closed.		

Retention Codes (Field 7)

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Archival Codes (Field 8)

A – Transfer to State Archives
R – Review by State Archivist



STATE OF TEXAS Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

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2. Agency Code 533		3. Agency Name Executive Council of Physical Therapy & Occupational Therapy Examiners							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				

3.2.010	HR-21	HRISREPORTS/ DOCUMENTATION	AC+4		AC+4			
3.3.031	HR-22	EEO-4(REPORT TO GOV OFFICE)	3		3	29 CFR 1602.32, 1602.39, 1602.41, 1602.48, 1602.50		
5.4.001	HR-23	ACCIDENT REPORTS	CE+5		CE+5	29 CFR 1904.33. The Texas Department of Insurance retains copies of the reports submitted to it for 50 years.		
3.2.002	HR-24	EMPLOYEE EARNING RECORDS	4		4	40 TAC 815.106(i)		
3.2.003	HR-25	FEDERAL TAX RECORDS	AC+4		AC+4	AC=Tax due date, date claim is filed or date tax is paid, whichever is later. 26 CFR 31.6001-1(e)(2). Also included are 1099, W2, and other tax forms		
3.2.006	HR-26	WAGE RATE TABLES	2		2	29 CFR 516.6(a)(2)		
3.3.004	HR-27	BENEFIT PLANS	US+1		US+1	29 CFR 1627.3(b)(2)		
3.3.010	HR-28	LABOR STATISTICSREPORT	3		3			

Retention Codes (Field 7)				Archival Codes (Field 8)	
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SLR 105

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2. Agency Code 533		3. Agency Name Executive Council of Physical Therapy & Occupational Therapy Examiners							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				
3.3.011	HR-29	FORMER PERSONNEL FILES	AC+75		AC+75		AC=Termination of employment. Minimum information needed to verify employment- name, address, SSN, dates of employment and termination date. See Item number 3.1.038		
3.1.022	HR-30	REQUEST TO CHANGE POSITION INFORMATION, ACTION FORMS	2		2		29 CFR 1602.31		
3.3.024	HR-31	PERSONNEL POLICIES & PROCEDURES	US+3		US+3				
3.3.026	HR-32	POSITION STAFFING REPORT	US+3		US+3				
3.3.015	HR-33	POSITIONS CLASSIFICATION REVIEW	US+3		US+3				

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3.4.001	HR-34	ACCUMULATED LEAVE ADJUSTMENT REQUESTS	FE+3		FE+3			
3.4.002	HR-35	LEAVE STATUS REPORT	FE+3		FE+3			
3.4.004	HR-36	OVERTIME AUTHORIZATIONS	2		2			
3.4.006	HR-37	TIME CARDS AND TIME SHEETS	4		4	40 TAC 815.106(i)		
3.4.007	HR-38	TIME OFF & SICK LEAVE REQUESTS	FE+3		FE+3			
5.4.001	HR-39	WORKERS COMPENSATION REPORTS	CE+5		CE+5	29 CFR 1904.33		
3.2	HR-40	PAYROLL FILES-Includes final payrolls processed with all applicable additions for regular and supplemental payroll records	AC+5		AC+5	AC=After Termination of Employee		
1.1	LI-01	LICENSEE FILES- Expired	AC+5	5	AC+10	AC= License is expired more than 1 year.	08-533-001	
1.1	LI-02	FACILITY FILES-Closed/ Expired	AC+5	5	AC+10	AC=Facility License closed or expired more than one year	08-533-002	

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1.1	LI-04	LOG LICENSES ISSUED	1 MO		1 MO				
1.1	LI-05	LOG TEMPORARY LICENSES ISSUED (Includes Temporary licenses issued but no regular license due to failure of national exam or application expired)	1 MO		1 MO				
1.1	LI-06	LOG DUPLICATE LICENSES ISSUED DUE TO NAME CHANGE OR LICENSE IS LOST OR DESTROYED	1 MO		1 MO				
1.1	LI-07	LOG RENEWAL LICENSES ISSUED	1 MO		1 MO				
1.1	LI-09	RENEWAL & ADDRESS CHANGES DATA ENTRY DOCUMENTS	FE+1		FE+1		Source Documents		
1.1	LI-10	CLOSED INVESTIGATION FILES- NO ACTION TAKEN	AC+3		AC+3		AC=Until settled with no Disciplinary action taken against licensee		

Retention Codes (Field 7)				Archival Codes (Field 8)	
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2. Agency Code	533	3. Agency Name	Executive Council of Physical Therapy & Occupational Therapy Examiners		
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4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				

1.1	LI-11	CLOSED INVESTIGATION FILES- DISCIPLINARY ACTION TAKEN	AC+5		AC+5	AC=Until settled with Disciplinary action taken against a licensee(possible fine, suspension of license, and possible revocation of the license to practice)		
1.1	LI-12	VERIFICATION OF LICENSES TO ANOTHER STATE	1		1			
1.1	LI-13	AMERICANS WITH DISABILITIES ACT (ADA) DOCUMENTATION- LICENSEE	3		3			
1.1	LI-14	LICENSEE AUDITS OF CONTINUING EDUCATION UNITS	FE+3		FE+3			
1.1	LI-15	LICENSE APPLICATIONS - NO LICENSE ISSUED	AC+2		AC+2	AC= When application is closed, terminated, completed, expired or settled.		
1.2.001	RM-01	RECORD DESTRUCTION SIGN-OFFS	FE+3		FE+3			
5.4.013	RM-02	DISASTER RECOVERY PLAN	US		US			

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1.2.003	RM-03	FORMSHISTORY PLAN	AC+1		AC+1	AC=Discontinuance of use of form. Shows incarnations of forms used by agency.		
1.2.005	RM-04	RECORDSRETENTION SCHEDULE	US		US			
1.2.008	RM-05	REQUEST FOR AUTHORITY TO DISPOSE OF STATE RECORDS (RMD 102)	FE+3		FE+3			
1.2.010	RM-06	RECORDSDISPOSITION LOG	10		10			
5.1.001	SS-01	CONTRACTSAND LEASES	AC+4		AC+4	AC=Expiration of termination of the instrument according to its terms.		
5.1.005	SS-02	POSTAGE EXPENSE REPORTS(IN ACCORDANCE & BULK)	FE+1	2	FE+3			
5.2.006	SS-03	CERTIFICATION OF DESTRUCTION FOR PROPERTY	FE+1	2	FE+3			
5.2.008	SS-04	EQUIPMENT HISTORY AND MAINTENANCE	LA	3	LA+3			

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STATE OF TEXAS Records Retention Schedule

SLR 105

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2. Agency Code 533 3. Agency Name Executive Council of Physical Therapy & Occupational Therapy Examiners

4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
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5.2.010	SS-05	EQUIPMENT MANUALS	LA	LA				
5.2.011	SS-06	EQUIPMENT WARRANTIES	AC+1	AC+1		AC=Expiration of Warranty		
5.2.014	SS-07	INVENTORY ANNUAL PHYSICAL REPORT	FE+3	FE+3				
5.2.021	SS-08	SURPLUS PROPERTY SALE	FE+3	FE+3				
5.3.007	SS-09	REQUEST FOR PURCHASE REQUISITION	FE+3	FE+3		Includes bid documentation for print jobs, computer-related contracts-filed by vendor.		
5.4.002	SS-10	EVACUATION PLANS	US	US				
5.4.011	SS-11	VISITOR CONTROL REGISTERS	3	3				
5.5.001	SS-12	BILLING DETAIL-TELECOM.(NOT TEX-AN)	FE+3	FE+3				
5.5.006	SS-13	BILLING DETAIL-TELECOM.(TEX-AN)	FE+3	FE+3				

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