

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

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

(1) DEPARTMENT, BOARD OR COMMISSION
 Department of Consumer Affairs (2) AGENCY BILLING CODE 6800 (3) PAGE 1 OF 1 PAGES

(4) DIVISION/ BRANCH/ SECTION
 Physical Therapy Board of California (5) ADDRESS 2005 Evergreen Street, Suite 1350, Sacramento, Ca 95815

CHECK THE APPROPRIATE BOX

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

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

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

NEW SCHEDULE INFORMATION (if applicable)	(9) SCHEDULE NUMBER PTBC-2	(10) SCHEDULE DATE September 5, 2007	(11) NUMBER OF PAGES 10	(12) CUBIC FEET (Total Schedule) 677 Cu. Ft.
PREVIOUS SCHEDULE INFORMATION (if applicable)	(13) SCHEDULE NUMBER PTBC-1	(14) APPROVAL NUMBER 01-077 / 2007-265	(15) APPROVAL DATE (S) 04/30/01	(16) PAGE NUMBER(S) REVISED 7

(17) MISSION/FUNCTIONAL STATEMENT
 The mission of the Physical Therapy Board of California is to protect the people of California by administering and enforcing the Physical Therapy Practice Act and ensuring that physical therapy is provided by physical therapists and their supportive personnel, who meet the requirements of the practice act.

PART I - AGENCY STATEMENTS

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

(18) SIGNATURE - MANAGER RESPONSIBLE FOR THE RECORDS
 (19) TITLE Executive Officer
 (20) PHONE NUMBER 916-561-8250
 (21) DATE SIGNED 12/27/09

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

(22) SIGNATURE RECORDS MGMT. ANALYST
 (23) CLASSIFICATION
 (24) NAME (Printed or Typed)
 (25) PHONE NUMBER
 (26) DATE SIGNED

PART II - DEPARTMENT OF GENERAL SERVICES APPROVAL (Per Government Code Section 14755)
 (27) SIGNATURE - CALRIM CONSULTANT
 (28) APPROVAL NUMBER
 (29) DATE SIGNED
 (30) EXPIRATION DATE

PART III - ARCHIVAL SELECTION (Per Government Code Section 14754)
 THE ATTACHED RECORDS RETENTION SCHEDULE:

(31) Contains no material subject to further review by the California State Archives

(32) Contains material subject to archival review. Items stamped "NOTIFY ARCHIVES" may not be destroyed without clearance by the California State Archives. (Per Section 1671 of the State Administrative Manual.)

(33) SIGNATURE - CHIEF OF ARCHIVES OR DESIGNATED REPRESENTATIVE
 (34) DATE SIGNED

Andrew Barber, Archivist
 September 5, 2010



ITEM #	CUBIC FEET *	CA. STATE ARCHIVES USE ONLY	TITLE AND DESCRIPTION OF RECORDS <i>(Double spaces between items)</i>	MEDIA	VITAL	RETENTION				PRA (Exe mpt) & IPA	REMARKS
						OFFICE	DEPT.	SRC	TOTAL		
(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)

1.	1		Records Management STD Form 70, Records Inventory Worksheet	P		Current			Current		Retain as current until next inventory, or when no longer needed for reference or analysis, whichever is later.
2.			STD Form 71, Records Transfer List	P		Current			Current		Retain as current until all records have been either destroyed, retired permanently, transferred to the State Archives, or when no longer needed whichever is later.
3.			STD Form 73, Records Retention Schedule	P		Current			Current		Retain as current until revised. NOTE: Although revision is required every five years from date approved by CALRIM, records retention schedules that are not revised remain in effect but are considered non-current.
4.	404		Consumer Protection Services Files								* The cubic foot measurement includes all CPS files.
5.	004		Certification Letters Licensing history on disciplined physical therapist and physical therapist assistants	P		1 Year			1 year		Confidential witness destruction.
6.			Complaint Files-								
	a.		Open	P		Active			Active	X, I	Active is until final disposition.
	b.		Closed- No violation (without merit)			5 Years			5 Years		Confidential witness destruction.
	c.		Closed- insufficient evidence (with merit)			Indefinite			Indefinite		
	d.		Closed- Subject deceased			1 Year			1 Year		Confidential witness destruction.
	e.		Closed- referred for criminal prosecution			Indefinite			Indefinite		

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						OFFICE	DEPT.	SRC	TOTAL		
(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)

7.	a b c d e		Disciplinary Case Files- Open Closed insufficient evidence - Declined by AG Closed- Action taken by PTBC Public Records Documents Withdrawn Accusations/ Statement of Issues Notice of Withdrawal			Active Indefinite Indefinite Indefinite Indefinite			Active Indefinite Indefinite Indefinite Indefinite	X, I X, I X, I X, I X, I	Active until final disposition determined.
8.	a b c d e		Citations- Open Citation Files Resolved Citation Files- Withdrawn/Dismissed Public Records (Citation Fine & Log Binder) Non Public Records Probation Monitoring Files	P		Active 5 Years Immediate 5 Years Indefinite			Active 5 Years Immediate 5 Years Indefinite	X, I X, I X, I X, I X, I	Active until action completed. CCR 1399.25 Confidential witnessed destruction. CCR 1399.25 Confidential witnessed destruction. Retain for 5 Years.
9.	a b c d		Open- Closed- Successful completion Closed- Deceased Closed- Revoked or Surrendered while on Probation/Automatic Cancellation	P		Active Indefinite Immediate Indefinite			Active Indefinite Immediate Indefinite	X, I X, I X, I X, I	Active until probation terminated. Immediate is upon notification of death.

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(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)

10.	a.		Case Billing Records- Copies of expert reviewer billing records	P		5 Years			5 Years		Confidential witness destruction.
	b		Case Billing Records Continued- Application/documents for Expert Consultants for PTBC			5 Years			5 Years		5 years or until Expert no longer used.
	c		Office of the Attorney General's client billing report			3 Years			3 Years		Confidential witness destruction.
	d		Office of Administrative Hearings billing			3 Years			3 Years		Confidential witness destruction.
	e		DOI client billing reports			3 Years			3 Years		Confidential witness destruction.
11.			Miscellaneous Document/ Re/Reports-	P							
	a		Public record requests			6 months			6 months		Confidential witness destruction.
	b		Internet update & completion of requests/OIS			6 months			6 months		Confidential witness destruction.
	c		National Practitioner Data Bank (Confirmation of posting disciplinary action)			6 months			6 months		Confidential witness destruction.
	d		Statewide Licensing Match System Monthly Report (Family Support Unit)			6 months			6 months		Confidential witness destruction.
	e		Certified Mail Log Books (PS Form 3877)			6 months			6 months		Confidential witness destruction.
	f		CPS Consumer Surveys			Active			Active		Retain until Sunset Review is completed.
12.	a		Diversion Participant Files-Self Referrals Open	P		Active			Active	X, I	Business and Professions, section 2667. Active until Diversion terminated.

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13.	b.	↓	Diversion Participant Files Continued	P	3 Years	3 Years	3 Years	3 Years	X, I	* Closed files- Confidential witnessed destruction after 3 years except for name, license #, and eligibility for readmission.				
	c.										Closed - Non-acceptance	Active	Active	
	d.										Closed- Withdrawal	3 Years	3 Years	3 Years
											Closed- Successful Completion	3 Years	3 Years	3 Years
14.	a.	↓	Diversion Participant Files- Board Referrals- Open	P	5 Years	5 Years	5 Years	5 Years	X, I	Business and Professions, section 2667.				
	b.										Diversion Participant Files- Board Referrals (continued)	3 Years	3 Years	3 Years
	c.										Closed- Non-acceptance	3 Years	3 Years	3 Years
	d.										Closed- Withdrawal	3 Years	3 Years	3 Years
15.	a.	↓	Diversion Participant Files- Self Referrals	P	5 Years	5 Years	5 Years	5 Years	X, I	Business and Professions, section 2667.				
	b.										Deemed an Imminent Risk	5 Years	5 Years	5 Years
											Terminated- Not Deemed an Imminent Risk or Non-Compliant	5 Years	5 Years	5 Years
15.	a.	↓	Diversion Participant Files- Board Referrals	P	5 Years	5 Years	5 Years	5 Years	X, I	Business and Professions, section 2667.				
	b.										Deemed an Imminent Risk	5 Years	5 Years	5 Years
											Terminated-Not Deemed an Imminent Risk or Non-Compliant	5 Years	5 Years	5 Years

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(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)

16.	↓		Diversion Program- General Correspondence including statistical reports	P		5 Years			5 Years	X, I	Confidential witnessed destruction after 5 years.
17.	*507-		Licensing Program-Applicant and Licensing Files								*507 cubic feet includes all Licensing Program files.
18.	20		Applications for license and all supporting documents (to include Physical Therapist, Physical Therapist Assistant, Electroneurologist, and Kinesiological Electromyographer	P		Active			Active	X, I	Active until licensed/abandoned/closed.
19.	439		License Files- license record and all supporting documents to include Physical Therapist and Physical Therapist Assistant	P		Active			Active	X, I	Active until cancelled.
20.	1	/	Electroneurologist and Kinesiological Electromyographer Certification Files- Open	P		Active			Active	X, I	Active until certification cancelled.
			Cancelled Certification Files			5 Years			5 Years		Confidential witnessed destruction.
21.	23		Abandoned/Closed Application for License files with all supporting documents	P		1 Year			1 Year	X, I	Confidential witnessed destruction.
22.	6		All supporting documents for Applications for License received by Board with no corresponding application on file	P		3 Months			3 Months	X, I	Confidential witnessed destruction.
23.	1		Voided Wall Certificates			6 Months			6 Months		Confidential witnessed destruction.
24.	1		License Renewal Applications returned to PTBC by Automated Cashiering Renewal batches cashiered at PTBC, <i>Name address change criminal</i>	P		4 Years			4 Years	X, I	Confidential witnessed destruction.

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						OFFICE	DEPT.	SRC	TOTAL		
(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)

25.	1		Fingerprint Clearances from Department of Justice/ Application/License Files	P		Active			Active	X	Active until application is abandoned/closed.
			Abandoned/Closed Application Files			Active			30 days		Return to DOJ "No Longer Interested" within 30 days of abandonment/closure.
			License cancelled			Active			60 days		Return to DOJ as "No Longer Interested."
			Fingerprint clearances received by PTBC with no corresponding application or license file.			Active			60 days		Return to DOJ as "No Longer Interested."
			License Issuance Logs			Active			Active		Permanent retention.
26.	8		PES Exam Scores (Scores on the NPTE and the CLE before the Federation of State Boards was the vendor)	P		Active			Active	X, I	* Retain indefinitely
27.	60		Administrative Files								*Cubic foot measurement includes all Administrative files.
28.	3		Budget Working Papers (includes, but not limited to: Budgets and working papers, Audit Reports)	P		Active			Active		Retain indefinitely.
29.	1		Contracts	P		Active			Active		Confidential witnessed destruction after 3 years of inactivity.
30.	1		Invoices	P		3 Years			3 Years		Confidential witnessed destruction.
31.	1		Legal Opinions including Attorney General and Department Legal Staff	P		Active			Active		Active for 3 years then destroy.

32 1 NOTIFIED ARCHIVES (most copies) P A A
 Retain one of each issue

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33.	1	NOTIFY ARCHIVES	General Correspondence (includes daily files)	P		5 Years			5 Years		Confidential witnessed destruction after 5 years.	
34.	1		Board Meeting Minutes (tape recordings of Board Meeting Minutes)	M		1 Year			1 Year		Destroy immediately after adoption.	
35.	15	NOTIFY ARCHIVES	Board Meeting Minutes (typed copies) including exhibits	P		Indefinite			Indefinite			
36.	5	NOTIFY ARCHIVES	Legislation (This file contains Bill analysis, Position Papers and related correspondence. It also includes but not limited to: Chaptered and unchaptered legislation, and sponsored legislation.	P		3 Years			3 Years		Destroy after 3 years.	
37.	1		Exam Materials (sign- in sheets from paper and pencil exams, supporting materials)	P		1 Year			1 Year		Confidential witnessed destruction.	
38.	1		Purchase Orders/ Records on computer hardware or software	P		Active			Active		Active while equipment is still utilized.	
39.	1		Purchase Orders/ General	P		3 Years			3 Years		Confidential witnessed destruction.	
40.	1	NOTIFY ARCHIVES	Rulemaking Submittals	P		Active			Active		Retain indefinitely.	
41.	1	NOTIFY ARCHIVES	Rules and Regulations booklets	P		Active			Active		Active until superseded.	
42.	1	NOTIFY ARCHIVES	Issue Papers on Regulatory Changes	P		3 Years			3 Years		Destroy after 3 years.	
43.	3	NOTIFY ARCHIVES	Annual Reports to the Governor- This file contains summary reports of the Board's policy and accomplishments. This is used for historical research.	P		50 Years			50 Years		Retain indefinitely.	
44.	1		Personnel Records- Applications for Employment	P		*			*		* Retain per PPH Chapter 1600 Section 1600-2 through 1600-10.	
45.	1		Personnel Records- Board Members (Includes but not limited to: Attendance, travel etc.)	P		*			*	X, I	• Retain per PPH Chapter 1600 Section 1600-4 through 1600-10.	

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(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)

46.	6		<p>Personnel Records- Staff Members (Includes but not limited to Attendance, training requests, travel, etc)</p> <p>Cashiering Documents and File-</p> <p>This file contains but is not limited to: all fiscal materials related to the Board's cashiering function i.e. Reports of Collections, Returned Payment Notices, Refund Payments, Audit copies, voided copies of licenses, and related correspondence, Outstanding checks, and collection logs.</p>	P	*	5 Years			5 Years	X, I	* Retain per PPH Chapter 1600 Section 1600- through 1600-10
47.	18			P							Confidential witnessed destruction.
48.			<p>Electronic Mail</p> <p>E-mail records that are classified as official records are subject to the individual department's record retention schedules and must be retained for the same period as the records series that most closely matches the subject matter contained within the e-message, the "record should be added to the appropriate retention schedule as a separate series of records.</p> <p>Transitory E-mail consists of electronic messages that are created for the communication of informal information as opposed to the perpetuation or formalization of knowledge. Destroy transitory E-Mail when they have served their purpose.</p>	M	*	90 Days			90 Days		Destroy in 90 days.

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(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)
Total: 677 cu.ft			E-Mail (continued) E-mail on "Litigation Hold"	M	*				*		* Documents to be placed on litigation hold will be retained according to direction from the Deputy Director of Legal Affairs Division, Department of Consumer Affairs.

NOV 22 2008

Summary of Changes

Page 4 #11. CPS Consumer Surveys changed to "Active" in Office and "Active" Total

Page 6 #21. Abandoned/Closed Application for License files with all supporting documents - Retention time changed to 1 Year in Office and 1 Year Total.

Page 6 #24. Added Renewal batches cashiered at PTBC and Name and Address changes, criminal conviction questionnaires. All of these items have the same retention time of 4 years.

The added documents will increase cubic feet for # 24 to 8 square feet.

The added documents will increase cubic feet for Licensing Documents #17 to 508.

The added documents will increase cubic feet for total schedule to 677 square feet

Please note that the Board has a new address also.