



<b>TITLE</b>	ELECTRONIC DATA RETENTION POLICY		
<b>POLICY OWNER</b>	LEGAL AFFAIRS AND DCA BUSINESS RESOURCE UNIT		
<b>POLICY NUMBER</b>	LGL 11-01	<b>SUPERSEDES</b>	NEW
<b>ISSUE DATE</b>	January 3, 2011	<b>EFFECTIVE</b>	<b>IMMEDIATELY</b>
<b>DISTRIBUTE TO</b>	ALL EMPLOYEES		
<b>ORIGINAL APPROVED BY</b>	<b>Original signature on file</b>  Brian J. Stiger, Acting Director Department of Consumer Affairs		
<b>PAGE</b>	1 of 4		

## POLICY

The Department of Consumer Affairs (DCA) is committed to the efficient retention and periodic purging of the Department's electronic data for the purposes of providing cost-effective and efficient recordkeeping practices. Thus, the retention of DCA's electronic records shall adhere to this policy regarding retention and preservation of electronic records.

## APPLICABILITY

The Electronic Data Retention policy applies to all employees, governmental officials, and temporary staff of DCA, and any of its divisions, boards, bureaus, programs, and other constituent agencies that are required to maintain a records retention schedule. Within this policy, the generic acronym "DCA" applies to all of these entities.

This policy statement applies to all computer and data communication systems owned by or administered by DCA. This policy covers only information that constitutes "electronic data or records."

## PURPOSE

The Electronic Data Retention policy is based on the State policy delineated in the State Administrative Manual (SAM) and on the requirements in State law for retaining records, including the State Records Management Act. Further, this policy is promulgated to implement State requirements to establish and maintain an active program for the economical and efficient management of the electronic records and information collection practices of DCA (Government Code section 14750).

## **AUTHORITY**

- Business and Professions Code section 110;
- Government Code sections 14740–14774; and
- Sections 1600–1695 of the State Administrative Manual (SAM).

## **DEFINITIONS**

“**Electronic data**” or “**electronic records**” are applicant, cashiering, licensee, and enforcement records created, generated, sent, communicated, received, or stored by electronic means that are maintained and stored on all computer and data communication systems owned by or administered by DCA.

“**Staff**” refers to all governmental officials and employees of DCA, and any of its divisions, bureaus, boards, and other constituent agencies collectively and individually.

## **PROVISIONS**

The use of electronic data and records is one of DCA’s essential tools for doing business. In order to ensure good recordkeeping practices, DCA staff shall adhere to the following electronic data retention policy:

1. Each DCA division, board, bureau, program, and other constituent agency, that is required to maintain a records retention schedule, shall review its statutory and regulatory obligations related to the retention of information that is stored in electronic form. This shall be accomplished prior to the migration of any electronic data to a different software or hardware platform.
2. Each division, bureau, board and constituent agency within DCA that maintains electronic records shall adopt, or incorporate into its existing records retention schedule, a retention schedule for electronic records that shall include the media type and time period for which the data shall be retained.
3. The policy shall apply to all aspects of electronic records, including information related to application requirements, cashiering, complaint investigation information, etc.

**PROVISIONS (continued)**

- 4. Once an electronic record reaches the maximum specified retention period, it shall be purged from all DCA maintained media.
- 5. The following are recommended electronic record retention timeframes for common electronic records maintained by DCA licensing agencies:

**a. Licensee Records**

<u>Record Status Description</u>	<u>Maximum Retention Recommendation</u>
Cancelled	25 years
Deceased	5 years
Delinquent	25 years
Revoked	75 years
Retired	25 years (after the ability to renew)
Surrender	75 years

**b. Enforcement Records / Licensee Records with Enforcement-Related Activity**

<u>Record Status Description</u>	<u>Maximum Retention Recommendation</u>
Non-Jurisdictional, Referred to Another Agency	2 years
No Violation, Closed Without Merit	5 years
Non-Disciplinary Action Taken, Insufficient Evidence, Administrative Action Taken	5 years
Disciplinary Action Attempted	75 years

**c. Applicant Records**

<u>Record Status Description</u>	<u>Maximum Retention Recommendation</u>
Abandoned	1 year from date of abandonment
Deceased	1 year from date of notice of death

The above retention timeframes are recommended and are not required timeframes. In circumstances where two timeframes may apply to one record, it is recommended to defer to the longer timeframe. The recommended timeframes begin on the record's date of action.

## **REVISIONS**

Determination of the need for revisions to this policy is the responsibility of the Legal Affairs Division at (916) 574-8220.

Specific questions regarding the status or maintenance of this policy should be directed to the Legislative Policy & Review office at (916) 574-7814.

(1) DEPARTMENT, BOARD OR COMMISSION Department of Consumer Affairs	(2) AGENCY BILLING CODE 57230	(3) PAGE 1 OF 3
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(4) DIVISION/ BRANCH/ SECTION Veterinary Medical Board	(5) ADDRESS 1747 North Market Blvd., Ste. 230, Sacramento, CA 95834
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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 (9)-(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 VM-2 <b>A1</b>	(10) SCHEDULE DATE May 2, 0014	(11) NUMBER OF PAGES 7	(12) CUBIC FEET (Total Schedule) 147.85
PREVIOUS SCHEDULE INFORMATION (If applicable)	(13) SCHEDULE NUMBER VM-2	(14) APPROVAL NUMBER 2013-257	(15) APPROVAL DATE(S) October 23, 2013	(16) PAGE NUMBER(S) REVISED 7

(17) MISSION/FUNCTIONAL STATEMENT

Mission: To protect consumers and animals by regulating Licensees, promoting professional standards and diligent enforcement of the practice of Veterinary Medicine.

The Veterinary Medical Board protects consumers and animals through the development and maintenance of professional standards; the licensing of Veterinarians, Registered Veterinary Technicians, and Veterinary Premises; and through diligent enforcement of the California Veterinary Medicine 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 48, Remarks.

(18) SIGNATURE - MANAGER RESPONSIBLE FOR THE RECORDS <i>Annemarie Del Mugnaio</i>	(19) TITLE Annemarie Del Mugnaio, Executive Officer	(20) PHONE NUMBER 916-515-5222	(21) DATE SIGNED 5-2-14
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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.

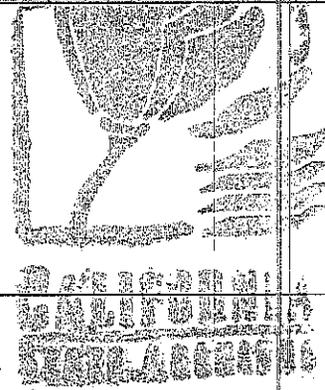
(22) SIGNATURE - RECORDS MGMT. ANALYST <i>[Signature]</i>	(23) CLASSIFICATION DCA - RMC (REGA)	(24) NAME (Printed or Typed) Mae Aguilar	(25) PHONE NUMBER 916-5747260	(26) DATE SIGNED 5/8/2014
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**PART II - DEPARTMENT OF GENERAL SERVICES APPROVAL (Per Government Code Section 14755)**

(27) SIGNATURE - CalRIM CONSULTANT <i>Janice C. Sanchez</i>	(28) APPROVAL NUMBER 2013-257	(29) DATE SIGNED 5/8/2014	(30) EXPIRATION DATE 10/23/2019
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**PART III - ARCHIVAL SELECTION (Per Government Code Section 14755)**

<p>THE ATTACHED RECORDS RETENTION SCHEDULE:</p> <p>(31) <input type="checkbox"/> Contains no material subject to further review by the California State Archives</p> <p>(32) <input checked="" type="checkbox"/> 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.)</p>	<p style="text-align: center; font-size: 2em;">Keep 34613</p> <p>(34) DATE SIGNED May 22, 2014</p>
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(35) CalRIM APPROVAL NUMBER

**2013-257**

(36) PAGE 2 OF 8

ITEM #	CUBIC FEET *	CA. STATE ARCHIVES USE ONLY	TITLE AND DESCRIPTION OF RECORDS <i>(Double spaces between items)</i>	MEDIA	VITAL	RETENTION				PRA (Exempt) & IPA	REMARKS	PAGES
						OFFICE	DEPT.	SRC	TOTAL			
(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)	
1	.1		ADMINISTRATIVE MANAGEMENT RECORDS MANAGEMENT  STD. 73 Records Retention Schedule Approval Request and Records Retention Schedule	P					Curr.		Retain as current until superseded. Although revision is required every five years from the date approved by DGS, RRS that are not revised remain in effect but are considered non-current	
2			STD.70 Records Inventory Worksheet	P					Curr.		Retain as "Current" until next inventory or when no longer needed for reference of analysis which ever is later.	
3			STD. 71 Records Transfer List	P					Curr.		Retain as "Current" until all records listed have been either destroyed, retired permanently, transferred to the State Archives, or when no longer needed, whichever is later.	
4			STD. 76 State Records Center Reference Request	P					Active		Retain as "active" until request for referral or withdrawal is completed	
5			Authorization for Records Destruction Computer printout	P				4	4		Retain for 2 years from date destruction is authorized. then retain 2 more or until audited, whichever occurs first	

\* Provide total of office and departmental

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						OFFICE (43)	DEPT. (44)	SRC (45)	TOTAL (46)			
(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)	
6			ADMINISTRATION  Administrative a. Budget Documents b. Contracts c. Invoices/Statements	P		5		5	10			
7			Personnel: includes but not limited to a. Personnel Files b. Travel Expense Claims  PROGRAM MANAGEMENT  Application for Licensure: includes but not limited to a. Original application b. diploma c. transcripts d. Arrest/conviction record  e. Copies of exam results f. Letter requiring more info from applicant  g. Verification out-of-state work experience h. Letters from fellow practitioner verifying out-of-state work experience	P		Active +4			Active +4		Active means currently employed	
8			Applications in Progress - Current	P		2			2	XI	Information required for evaluation, will be transferred to licensee file upon licensure  Exempt per Public Records Act, (PRA) Govt. Code 6254(c) Access by date subject: Practice Act Article 8, Civil Code, Section 1798.  Current applies to applications that are complete and waiting to sit for examination	

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RECORDS RETENTION SCHEDULE

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						OFFICE (43)	DEPT. (44)	SRC (45)	TOTAL (46)			
(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)	
9			Applications - Pending	P		2			2	XI	Pending applies to incomplete including but not limited to exam results, fingerprints or required additional paperwork	
10			Applications - Enforcement Denied	P		2			2	XI		
11			Applications - Abandoned fees forfeited or Failure to appear	P		2			2	XI	CCR Section 2015.5 (a-b), Confidential shred	
			Licensee Files: includes but not limited to all materials listed in application for licensure a. A copy of wall certificate b. Address and/or name change request c. Continuing Education documentation							XI	Exempt per PRA Govt. Code 6254(c) Access by date subject: Practice Act Article 8, Civil Code, Section 1798.	
12			Current Active/Inactive Licenses	P		Active			Active		Active applies to licensees that are paid in full active or inactive	
13			Delinquent Licenses	P		6		90	96		B & P Code Sections 4844 and 4902 a person who fails to renew within 5 yrs. after expiration date, may reapply for new number	
14		NOTIFY ARCHIVES	Deceased Licenses	P		1		1	2			
15			License Renewal Applications	P		4			4		Retain for 4 yrs. or until audited, which ever occurs first	

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ITEM #	CUBIC FEET *	CA. STATE ARCHIVES USE ONLY	TITLE AND DESCRIPTION OF RECORDS <i>(Double spaces between items)</i>	MEDIA	VITAL	RETENTION				PRA (Exempt) & IPA	REMARKS	PAGES
						OFFICE	DEPT.	SRC	TOTAL			
(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)	
16			BOARD INFORMATION:  Board Personnel: includes but not limited to a. Personnel Files b. Travel Expense Claims	P		Active +4			Active +4		Active means for the duration of their term of office	
17		NOTIFY ARCHIVES	Board and/or Committee Meeting Minutes Original documents used for mtgs including but not limited to agenda and backup material	P		20		80	100			
18			Board and/or Committee Meeting Minutes	E		Curr.			Curr.		*Note Mtg recordings kept until mins. are approved usually @ next Mtg.	
19		NOTIFY ARCHIVES	Miscellaneous information including a. Board Policy b. General Correspondence c. Public Records Act Requests d. Subpoena e. Rodeo Injury Report	P		5		5	10			
20		NOTIFY ARCHIVES	Legal Opinions	P		Active +20		80	100			
21		NOTIFY ARCHIVES	Legislative info including but not limited to a. Bills b. Analysis c. Budget Backup d. General Correspondence	P		Active +5		5	10		Active means in the Legislative process	

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ITEM #	CUBIC FEET *	CA. STATE ARCHIVES USE ONLY	TITLE AND DESCRIPTION OF RECORDS <i>(Double spaces between items)</i>	MEDIA	VITAL	RETENTION				PRA (Exempt) & IPA (47)	REMARKS (48)	PAGES
						OFFICE (43)	DEPT. (44)	SRC (45)	TOTAL (46)			
22		<b>NOTIFY ARCHIVES</b>	Regulation info including but not limited to a. Notice documentation b. Public comments	P		Active +5		5	10			
23			CASHIERING: Miscellaneous Cashiering Documents  a. Report of collections  b. Revenue Refunds/Transfers c. Return check letters d. NSF / Franchise Tax Collections  PREMISE PERMIT FILES:  These files include but not limited to a. Original application b. Inspections reports c. Revised applications  d. General correspondence	P		5			5		5 yrs. or until audited whichever occurs first	
24			Current Active Premise Permits	P		Active			Active		Active applies to Premise Permits that are paid in full	
25			Delinquent Premise Permits	P		5			5		5 years from expiration date Confidential Shred	

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ITEM #	CUBIC FEET *	CA. STATE ARCHIVES USE ONLY	TITLE AND DESCRIPTION OF RECORDS <i>(Double spaces between items)</i>	MEDIA	VITAL	RETENTION				PRA (Exempt) & IPA (47)	REMARKS (48)	PAGES	
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(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)		
26			Cancelled Premise Permits  <b>ENFORCEMENT FILES:</b>  These files contain all documentation of complaints, investigation and accusations against a licensee, includes but not limited to a. Original Complaint  b. Requests for investigation c. Status reports d. Findings and recommendations e. Copies of legal documents	P		3			3		Retain for 3 yrs. after date of cancellation Confidential Shred		
27			Complaints Active	P		Active			Active	X	Active means until completion of complaint review process and disposition of review committee's recommendation		
28			Complaints Closed No Violations  1E.	P		3			3	X	Confidential Shred		

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(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)	
29			Citaaion and Fine	P		5			5		Per Board policy October 2002, remove from licensee file and confidential destruction 5 yrs. after final payment received	
30			Investigations	P		Active +3		97	100	X	Active means until completion of investigation and/or final action Exempt per PRA Govt. Code 6254(k)  Not available by date subject: Practice Act Article 8, Civil Code, Section 1798.3 (4)	
31			Accusation / Discussion	P		Active +3		97	100		Active means until completion of investigation and/or final action	

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(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)
24	12.25		<p><u>Enforcement Files</u> This file contains all documentation of complaints, investigations, and accusations against a licensee. File includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>a. original complaint</li> <li>b. requests for investigation</li> <li>d. status reports</li> <li>e. findings and recommendations</li> <li>f. copies of legal documents</li> </ul> <p>Complaints</p>	P		Active +3			Active +3		Active means until completion of complaint review process and dispositions of complaint review committee's recommendation.
25	26.75		<p>Investigations/Accusations</p>	P		Perm.			Perm.		<p>Need to say something here. Exempt from Public Records Act, Govt Code Section 6254(K)</p> <p>Not available to the data subject to Section 1798.3(4) of the Information Practices Act.</p> <p>Disposal Criteria: Confidential Witnessed Destruction.</p>
26			<p>Citation and Fine</p>	P		5			5		Per Board policy October 2002, destroy citation and fine records five years after fine payment received.
27	13.5		<p><u>Premises Files</u> Veterinary Hospitals files may include, but not limited to:</p> <ul style="list-style-type: none"> <li>a. Original application</li> <li>b. Inspection Report</li> <li>c. Copy of original certificate</li> </ul>	P		Active +5			Active +5		



Department of Consumer Affairs  
Veterinary Medical Board  
Records Retention Schedule  
May 2, 2014

2013-257

Revision made to page 5, item 19:

- Added
- c. Public Records Act Requests
  - d. Subpoena
  - e. Rodeo Injury Report

The items entered into the records retention schedule caused the items below item 19 to be moved down therefore, the schedule increased from seven to eight pages.

Karen Robison  
Administrative Analyst