

October 28, 2019



Caitlin Bumford
Director of Archives
State Bar of Texas
P.O. Box 12487
Austin, TX 78711

Dear Ms. Bumford,

Your agency's records retention schedule is approved for use as of **10/3/2019**, and may be accessed on our website at <https://www.tsl.texas.gov/slrn/state/schedules>. Please ensure that all old copies of the schedule are superseded with this certified copy.

Lorenzo de Zavala
State Archives and
Library Building

1201 Brazos Street
Austin, Texas
78701

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

www.tsl.texas.gov

Commission Chairman
Michael C. Waters

Members

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

Director and Librarian
Mark Smith

Assistant State Librarian
Gloria Meraz

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

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

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

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

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

Sincerely,

A handwritten signature in black ink, appearing to read "G. 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 202
Agency Name State Bar of Texas

(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

Name (Print or type) Caitlin Bumford

Date 12/20/2018

Section 2. Approvals

(Submitting agencies do not write in this section)

State Auditor's Office

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

Not Required at This Time

Signature

Name (Print or type)

Date

Texas State Library and Archives Commission

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

Signature

Name (Print or type)

Date

Gloria Mera
Gloria Mera
10/3/19

Cert/Recert No.

6

Amendment No.

CAUTION

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

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





STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

Retention Codes (field 7)

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

Archival Codes (Field 10)

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

1. Agency Code: 202		2. Agency Name: State Bar of Texas									
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
					Years	Months	Days				
A1-01	1.1.007	Correspondence - Administrative	Incoming/outgoing and internal correspondence pertaining to the formulation, planning, implementation, interpretation, modification, or redefinition of the services, or projects of an agency and the administrative regulations, policies, and procedures that govern them.		4				O		
A1-02	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						



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A1-03	1.1.057	Transitory Information	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. 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.	AC				Purpose of record has been fulfilled		The disposal of transitory information need not be documented in records disposition logs (R1-02).	



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A1-04	5.1.015	Correspondence Tracking Records	Any record created by an agency to track any type of incoming and outgoing correspondence (including by email or online contact form) or packages by the U.S. Postal Service or by courier.		1						
A1-05	5.1.004	Contact Lists	Any mailing address, telephone or fax number, or e-mail address records maintained by an agency on its employees or on entities or persons it serves.	US							



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A1-06	1.1.013	Calendars, Appointments 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				O	Note: Only the calendars, appointment, and itinerary records of executive staff, board or commission members, division directors, and program heads require archival review. Contact the Archives Department when these records have met their retention periods. Caution: A record of this type purchased with personal funds, but used by a Bar employee or representative to document his or her work activities may be subject to this retention period.	
A1-07	1.2.003	Forms History Documentation	Print or electronic masters of original version and all subsequent revisions to agency forms, including any associated design or modification requests.	AC	1			Discontinuance of use of form			



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A1-08	2.2.014	Internet Cookies	Data resident on hard drives that make use of user-specific information transmitted by the Web server onto the user's computer so that the information might be available for later access by itself or other servers.	AV						AV = upon browser exit; this does not apply to such records that may have been captured or retained for investigative or human resource actions and as such are subject to further retention. The disposal of Internet cookies need not be documented in records disposition logs (R1-02).	
A1-09	2.2.015	History Files - Websites	A record of the documents visited during an Internet session that allows users to access previously visited pages more quickly or to generate a record of usage of a state-owned computer.	AV				AV = upon or within 20 days of browser exit; this does not apply to such records that may have been captured or retained for investigative or human resource actions and as such are subject to further retention		The disposal of history files need not be documented records disposition logs (R1-02).	



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					Years	Months	Days				
A1-10	2.2.016	Software Registration, Warranties and License Agreements		LA	3					Registrations, warranties, and license agreements of software not issued or maintained by the State Bar of Texas IT Department must be maintained by the department that purchased the product.	
A1-11	5.2.008	Equipment History File; Equipment Service Agreements	Agreements or contracts between the agency and equipment vendor to provide maintenance service for equipment. Includes requests for installation, moves, service, etc.; and service/repair logbooks, etc.	LA	3						
A1-12	5.2.010	Equipment Manuals		LA							
A1-13	5.2.011	Equipment Warranties		AC	1			Expiration of Warranty			
A1-14	5.6.007	Vehicle Titles and Registrations		LA							
A1-15	5.6.003	Inspection, Repair and Maintenance Records - Vehicles		LA	1						



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A1-16	5.1.017	Contract Logs	List of agency or department contracts, leases, and agreements including general obligation, land lease, utilities, and construction contracts.		7						
A1-17	5.3.007	Bid Documentation - on or after 9/1/2015	Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, successful and unsuccessful bids, and bid tabulation/evaluations. Associated with a contract executed, renewed, or amended on or after September 1, 2015.	AC	7			Expiration or termination of the instrument according to its terms or decision not to proceed with the bid			Government Code, 441.1855



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					Years	Months	Days				
A1-18	5.3.007	Bid Documentation - Unsuccessful	Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, successful and unsuccessful bids, and bid tabulation/evaluations for 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			Date of notification of denial or date of withdrawal, as applicable			Government Code, 441.1855
A1-19	5.3.007	Bid Documentation - on or before 8/31/2015	Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, successful and unsuccessful bids, and bid tabulation/evaluations. Associated with a contract executed, renewed, or amended on or before August 31, 2015.	FE	3						Government Code, 441.1855



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A1-20	5.3.009	Requests for Information, Procurement-Related	Requests for information preliminary to the procurement of goods or services by direct purchase or bid.	AC				Decision not to proceed with procurement			
A1-21	5.1.001	Contracts and Leases - on or after 9/1/2015	Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. May also include other applicable documentation in the master contract file per Texas Comptroller of Public Accounts Contract Management Guide. Executed, renewed, or amended on or after September 1, 2015.	AC	7			Expiration or termination of the instrument according to its terms		SEE related item number A1-17 for Bid Documentation. SEE item number F1-05 for building construction contracts and item number A1-16 for contract logs.	Government Code, 441.1855



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					Years	Months	Days				
A1-22	5.1.001	Contracts and Leases - on or before 8/31/2015	Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. May also include other applicable documentation in the master contract file per Texas Comptroller of Public Accounts Contract Management Guide. Executed, renewed, or amended on or before August 31, 2015.	AC	4			Expiration or termination of the instrument according to its terms.		SEE related item number A1-19 for Bid Documentation. SEE item number F1-05 for building construction contracts and item number A1-16 for contract logs.	Government Code, 441.1855
A2-01	5.2.026	Facilities Reservation Logs	Reservation logs or similar records relating to the use of agency facilities such as meeting rooms, auditoriums, etc.		2						
A2-02	5.5.001	Billing Detail - Telecommunications (Other than Tex-An)	In addition to summary detail, includes any detailed listing of long distance calls.	FE	3						



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A2-03	5.5.006	Billing Detail - Telecommunications - Tex-An	In addition to summary detail, includes any accompanying detailed listing of long distance calls.	FE	3					SEE item number A2-02 for billing detail from carriers other than TEX-AN.	
A2-04	5.5.003	Telephone Station Activity Reports	Internal listing of incoming/outgoing telephone activity to individual telephone stations.	AV							
A2-05		Call Center Recordings	Call center calls randomly recorded for quality assurance	AV							
A3-01	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						
A3-02	5.1.005	Postage Records	Records and reports of postage expenses, including postal meter usage.	FE	3						
A3-03	5.3.004	Order Acknowledgements		AV							
A3-04	5.3.005	Packing Slips		AV							
A3-05	5.1.011	Photocopier and Fax Usage Logs and Reports		AV							
M1-01	1.1.023	Organization Charts		US					I		



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M1-02	1.1.024	Plans and Planning Records	Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC	3			Decision made to implement or not to implement result of planning process	O	State Archives Note: Data processing planning records are not archival.	
M1-03	1.1.069	Reports - Activity	Reports compiled by agency personnel on a daily or other periodic basis pertaining to workload monitoring, task completion times, number of public contacts, and similar activities.		1					Caution: If Activity Reports are used for the documentation of Performance Measures, as specified in the Bar's Strategic Plan, they fall under item number P1-07, Agency Performance Measures Documentation, and have a retention period of FE + 3	
M1-04	1.1.014	Legal Opinions and Advice	From agency legal counsel or the Attorney General, including any requests eliciting the opinions.	AV					O	Caution: Does not include legal opinions or advice rendered on a matter in litigation or with regard to pending litigation. SEE item number L3-01, Litigation Files.	



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M1-05	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			Final disposition of the complaint			
M1-06	5.4.013	Disaster Preparedness and Recovery Plans		US							
M1-07	3.3.024	Personnel Policies and Procedures	Any internally distributed manuals, guidelines, or similar records that define policies and procedures concerning the personnel of an agency.	US	3						
M1-08	5.1.014	Internal Office Procedures	Any internally distributed manual, guidelines, or similar records that establish standard office procedures for an agency; for example, step-by-step departmental task instructions, agency style manuals, telephone protocols, mail room procedures, print shop and photocopy ordering instructions.	US	1						



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M1-09	3.3.025	Job Procedure Records	Any documents detailing the procedural duties and responsibilities of agency positions on a position-by-position basis. This includes standard operating procedures for each position, on-boarding document for all in department, how-to manuals, and checklists. Separate from PAQ.	US	3						
M1-10	1.1.010	Directives	Any document that officially initiates, rescinds, or amends general office procedures.	US	1						
M1-11		Departmental Staff Training Materials	Instructional materials developed for training staff members on job- and department-specific procedures and tasks. Includes notes, handouts, presentations, and similar materials.	US	2						



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					Years	Months	Days				
M1-12	3.1.006	Employee Counseling Records	Notes, memoranda, or reports relating to the counseling of an employee for work-related problems. HR department is usually the custodian.	AC	5			Termination of counseling		Records of personal and substance abuse problems are maintained by the Employee Assistance Program administered by the Human Resources Department. See H2-10	
M1-13	3.4.004	Overtime Authorization			2						
M1-14	3.4.004	Overtime Schedules			2						
M1-15	3.3.023	Requests and Authorizations for Out of State Travel	Requests and authorizations for work-related travel; or for other work-related activities for which the expenses of the employee are defrayed or reimbursed.	FE	3					Requests and Authorizations for Reimbursable Education and Training are retained by Human Resources. See H2-12.	
M1-16	1.1.063	Staff Meeting Minutes and Notes	Minutes or notes, and supporting documentation, taken at internal agency staff meetings.		1						



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P1-01	1.3.001	Publications	Books, brochures, journals, annual reports, pamphlets, eblasts, newsletters, flyers, blogs, coursebooks, guides, and other printed and electronic materials intended for circulation.	AC	2			Publication is superseded or obsolete	I	When the retention has been met, this record is transferred to agency archives.	
P1-02	1.3.002	Publication Development Files	Background material, copy (drafts), original artwork, photo negatives, prints, flats, work order packets, proofs, hours tracking, etc. This includes all work performed both inside and outside the agency.	AV					O		
P1-03		Register of Copyright		AC	95			Completion of copyright registration.			
P1-04		Documentation of Literary Rights	Includes agreements with authors and licensing agreements.	AC	95			Publication of work			
P1-05	5.1.012	Price Lists for Published Works	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						
P1-06		Inventory Tracking	Documentation of TexasBarBooks inventory tracked by auditors.	FE	3						



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					Years	Months	Days				
P1-07	1.1.064	Agency Performance Measure 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 performance measures used to manage the agency. Required by State Bar Act, GC 81.0215. Based on Strategic Plan. Final performance measures compiled by the Legal Department.	FE	3					Caution: 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.	
P1-08	1.1.038	Customer Surveys	Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance. Departments use Informz and other softwares to produce and report on these surveys.	AC				Final disposition of summary report		SEE item number P1-10, Reports and Studies Non-Fiscal - Final, for summary reports compiled from customer surveys.	
P1-09	1.1.065	Reports and Studies Non-Fiscal - Raw Data	Information, statistics, or data collected and compiled for the purpose of producing non-fiscal reports about departmental, agency-wide, website, and volunteer group activities.	AV							



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					Years	Months	Days				
P1-10	1.1.067	Reports and Studies Non-Fiscal - Final	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. These reports include but are not limited to reports on: web hits; TexasBarBooks sales; HR activity; Legal Access Division program statistics; Texas Access to Justice customer survey results; Sections membership activities and survey results; Law-Related Education program activity and customer survey results; and Texas Bar Journal readership survey results.		3				I		



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P1-11		Staff and Volunteer Presentations	Presentation notes, scripts, PowerPoints, talking points, and associated or similar materials used or distributed by staff and volunteers in the course of presentations representing the State Bar of Texas.	AC	2			Presentation is superseded or obsolete			
P1-12	1.1.043	Training Materials	Instructional materials developed by an agency for training entities or individuals it regulates or serves. Includes TexasBarCLE course articles and volunteer training.	AC	1			Training is superseded or obsolete	O		Government Code, 81.0201(c)
P1-13		Audio/Video Productions	All audio/video productions made for public relations, educational purposes, or internal circulation. Does not include meeting video and audio recordings or security footage.	AC	2			Content of production is superseded or obsolete	I		
P1-14		Course and Event Registration Records	Information collected during registration for continuing education courses and other events	AC	2			Date of course or event			
P1-15		Registration and Marketing Lists	Registration and marketing lists for courses and other events	AC		6		Date of course or event			



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P1-16		Course After Action Reports	After Action Reports, including information on financials, attendance, comments from staff, speaker information, registrants, etc.	AC	7			Date of course			
P1-17		Marketing Records	Advertising records for the Texas Bar Journal and Annual Meeting.	AC	2			Advertisement run or event concluded	O	Note that contracts (item numbers A1-21 and A1-22) and bid documentation (A1-17, A1-18, A1-19) have different, usually longer, retention periods.	
P1-18		Event Planning Records	Invitations, eBlasts, brochures, event guide, registration forms, attendee lists, timelines, correspondence, checklists, registration forms, apps, logos, etc.	AC	2			Event concluded		Note that contracts (item numbers A1-21 and A1-22) and bid documentation (A1-17, A1-18, A1-19) have different, usually longer, retention periods.	
P1-19		Award Files - Given	Nominations forms, letters, emails, award tracking spreadsheets, press releases, and all other documents pertaining to staff, volunteer, and public awards given by the State Bar of Texas.	AC	3			Award given	O		



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P1-20		Award Files - Received	Nominations forms, letters, emails, award tracking spreadsheets, press releases, and all other documents pertaining to agency, staff, and volunteer awards received by the State Bar of Texas.	AC	3			Award received	O		
P1-21		Applications for Funding - Unsuccessful	Applications for grants and scholarships.	AC	3			Funding denied			
P1-22		Applications for Funding - Successful	Applications for grants and scholarships.	AC	3			Requirements of funding completed			
P1-23		Applications for Participation	Applications for Participation in selective programs, including, but not limited to the Texas Opportunity and Justice Incubator (TOJI), Pro Bono College, and Leadership SBOT.	AC	2			Application deadline			
P1-24		Photo Release Agreement	Photo releases signed by attendees or program participants, to be used in public relations materials or publications, such as the Texas Bar Journal or Texas Bar Blog.	AC	2			Publication is superseded or obsolete			



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P1-25	1.1.019	Public Relations Records	News, press releases, or any public relations files maintained or issued by an agency. Includes print, electronic, audio, and audiovisual records.		2				I		
V1-01		Volunteer Groups Meeting Agendas and Minutes	Agendas, minutes and supporting documents of State Bar Committees, Sections, Divisions, Task Forces, and other volunteer groups.		2				I		SBOT Board Policy Manual, 4.04.09
V1-02		Volunteer Groups Meeting Supporting Documentation	Documents submitted at meetings of State Bar Committees, Sections, Divisions, Task Forces, and other volunteer groups, including meeting packets, 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				I		



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V1-03		Volunteer Groups - Notes to Prepare Meeting Minutes	Notes taken during meetings of State Bar Committees, Sections, Divisions, Task Forces, and other volunteer groups, from which written minutes are prepared.	AC				Official meeting minutes are approved			
V1-04		Volunteer Group Nomination Forms	Nomination forms and accompanying documentation for Committee membership, Section council and officers, and other volunteer group leadership		3						
V1-05		Volunteer Groups - Leadership Election Records		AC	3			Election finalized			SBOT Board Policy Manual, 5.02.03
V1-06	1.1.070	Section Rules, Policies and Procedures - Final	Section bylaws, manuals, guidelines, administrative rules, or similar records distributed internally for the use of Section members or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern a section's programs, services, or projects.	AC	3			Completion or termination of program, rules, policies, or procedures	I		SBOT Board Policy Manual, 5.01.04



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					Years	Months	Days				
V1-07	1.1.071	Section Rules, Policies and Procedures - Working Files	Working files used in the development of Section bylaws, manuals, guidelines, administrative rules, or similar records distributed internally for the use of Sections members or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern a section's programs, services, or projects.	AC	3			Approval or effective date of program, rules, policies, or procedures.	O		SBOT Board Policy Manual, 5.01.04
A4-01	1.1.002	Audits	Audits and reviews performed by or on behalf of an agency, including the working papers that support the audit. Also includes audits performed on the agency.	AC	7			Publication or release of final audit findings			Government Code, 81.023(a). State Bar Rules, II.3.03
A4-02	4.1.001	Accounts Payable Information	Invoices, check requests, reimbursement requests, contracts (kept with initial payment), canceled checks, and Positive Day Reports.	FE	3						



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A4-03	4.1.002	Billing Detail		FE	3					Caution: Does not include long distance telephone billing detail. SEE item numbers A2-02 and A2-03.	
A4-04	4.1.005	Inventory and Other Cost Files	Records used to document agency assets, including inventory, cost of goods sold, and price lists.	FE	3						
A4-05	4.1.006	Investment Transaction Files		FE	3						SBOT Board Policy Manual, 3.05.
A4-06	4.1.007	Transfers or Budget Revisions	Transfers or adjustment to budgets. Includes monthly report to look for significant budget variances.	FE	3						
A4-07	4.1.008	Electronic Fund Transfers	Documentation of transfers from one account to another, or from a Section fund to the operating fund. Includes Direct Deposit Registers.	FE	3						
A4-08	4.2.001	Deposit Vouchers	Deposit slips.	FE	3						
A4-09	4.2.002	Receipts	Includes receipts for fees (permits, licenses, renewals, etc.). Serves as confirmation that deposit has been recorded.	FE	3						
A4-10	4.2.003	Daily Receipts Logs		FE	3						



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A4-11	4.2.005	Purchase Vouchers	Purchase documentation, including requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE	3						
A4-12	4.2.006	General Journal Vouchers	Journal entries created to record any changes, corrections, and updates. Information contained Includes reference number, date, accounting code, and change amount.	FE	3						
A4-13	4.2.007	Expenditure Vouchers	Accounts payable journal entries, including travel, payroll, etc.	FE	3						
A4-14	4.3.001	Sales Journals or Registers	Receipts journals or registers specifically for sales: TexasBarBooks, TexasBarCLE, Sections, and Special Revenue. Used to run monthly sales tax reports.	FE	3						
A4-15	4.3.002	Receipts Journals or Registers	Journals or registers for fee collection, registrations, and other non-sales receipts.	FE	3						
A4-16	4.3.003	Expenditures Journals or Registers		FE	3						



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A4-17	4.4.001	General and Subsidiary Ledgers		FE	3						
A4-18	4.4.002	Accounts Receivable Ledgers		FE	3						
A4-19	4.4.003	Accounts Payable Ledgers		FE	3						
A4-20	4.7.007	Detail Chart of Accounts	One chart for all accounts in use for a fiscal year, showing revenue, liability, etc. Created quarterly.	FE	3						
A4-21	4.5.001	Worksheets for Preparing Fiscal Reports	Backup for monthly financials. Preliminary financial reports reviewed for variance.	FE	3						
A4-22		Deposit Reports		FE	3						
A4-23	4.5.002	Internal Fiscal Management Reports	Includes agency monthly budget/financial reports, vacation accrued report, AA reports.	FE	3						SBOT Board Policy Manual, 3.05.05(G)



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A4-24	4.5.005	External Fiscal Reports	Includes, but is not limited to: federal financial reports, salary reports, HUB Reports, Texas Workforce Commission quarterly tax reports, quarterly 941 payroll tax reports, annual 1941 for workers comp insurance, and multi-worksites reports	FE	3						
A4-25	4.5.003	Annual Financial Reports	General Accounting Standards Board report submitted with final audit decision	FE	6				I		Government Code, 81.023(b)
A4-26	4.5.006	Annual Operating Budget		FE	3						Government Code, 81.022
A4-27	4.6.002	Reconciliations		FE	3						
A4-28	4.6.003	Cash Counts		FE	3						
A4-29	4.7.001	Accounting Policies and Procedures Manual	Includes, but is not limited to, Reimbursement Policies and Procedures	US	3						SBOT Board Policy Manual, 3.07.01(A)
A4-30	4.7.002	Bank Statements		FE	3						
A4-31	4.1.003	Canceled Checks, Stubs, Warrants or Drafts		FE	3						



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A4-32	4.7.003	Returned Checks, Warrants, Drafts (Uncollectable)		AC	3			After deemed uncollectable			
A4-33		Documentation of Writing Off Bad Debts	Includes, but is not limited to, monthly Accounts Receivable Aging Report	FE	3						
A4-34	4.7.004	Fixed Asset Records	Fixed asset is any asset that costs \$5,000 or greater and has a useful life of longer than one year, AKA "capital asset" or "capital item." Fixed asset records are documentation of capital asset purchases, list of all capital assets, asset owner, and depreciated value.	LA	3						SBOT Board Policy Manual, 3.06.02. SBOT Board Policy Manual, 3.02.06(B)(3)
A4-35	4.7.009	Fixed Asset Sequential Number Log	Fixed asse is an asset that costs \$5,000 or greater and has a useful life of longer than one year, AKA "capital asset" or "capital item."	US	3						SBOT Board Policy Manual, 3.06.02(E)
A4-36	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	3			US+FE			



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A4-37		Grant Financials - Given		AC	3			Grantee completion of all grant requirements			Texas Education Agency RRS: AIN 701.236
A4-38		Grant Financials - Received		AC	3			Completion of all grant requirements		CAUTION: Retention requirements may vary depending on specific funding agency.	
A5-01		Advertising Review Files	Advertising Review case files containing applications, final advertising and solicitation submissions, associated transcripts and media, and related correspondence/notifications.	AC	4			Application approved or disapproved		See item A5-03 for superseded advertising and solicitation drafts	
A5-02		Advertising Review Database	Docketing database tracking Advertising Review applications. Includes: docket number; advertiser name, address, and phone number; date received; whether pre-approval is sought; type of advertisement or solicitation; date and substance of all communications with the advertiser; and determinations regarding application.	PM							



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A5-03		Advertising and Solicitation Submissions - Superseded Drafts	Advertising and solicitation submissions that, following feedback from Advertising Review Committee or staff, has been superseded by a revised advertisement or solicitation submission.	AC				Re-submission received		Latest/final submission falls under item A5-01, Advertising Review Files	
A6-01		Accession Records	Includes accession log, and accession file contents (deeds of gift, records transfer forms, correspondence, accession worksheets).	PM							
A6-02		Loan Documentation	Applies to archives, library, and museum materials loaned to or by the Archives Department.	AC	2			Loan concluded and item returned			
A6-03		Archival Finding Aids	Includes traditional finding aids, databases, indexes, folder lists, shelf lists, etc.	US					O		
A6-04		Archival Research Requests	Documentation of archival research requests received, including reference request log and related correspondence		5						



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A6-05		Exhibits	Final exhibit text, plans, and images. May substitute facsimiles for oversized or mounted printed materials that would be cumbersome for permanent storage	AC	2			End of exhibit	I		
A6-06		Exhibit Development Files	Records documenting the development of archival exhibits, including permissions and citations/references for information exhibited	AC				End of exhibit			
B1-01	1.1.026	Texas Register Submissions	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 (via the Texas Secretary of State). Includes meeting notices for State Bar of Texas Board of Directors and Committee on Disciplinary Rules and Referenda.	AC	1			Date of publication in the Texas Register			Government Code, 81.021(a), 81.0867(b)(1), 81.0878(a)(2)(A). Government Code 541.048. State Bar Board Policy Manual, 1.12.05, 1.15.04, 1.15.05



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B1-02	1.1.058	Board of Directors Meeting Agenda and Minutes	Official agenda and minutes of the State Bar of Texas Board of Directors and Board of Directors Committees, including the Executive Committee. Includes agendas, minutes, and exhibits.	PM					I		
B1-03	1.1.062	Board of Directors Meetings Supporting Documentation	Documents submitted at meetings of the State Bar of Texas Board of Directors and Board of Directors Committees, including the Executive Committee. Includes meeting packet items, documentation for agenda items, meeting handouts, and documents sent in advance of meetings for briefing purposes, some of which may not be submitted at an actual meeting.		3				I		
B1-04	1.1.060	Board of Directors Open Meeting Audiovisual Recordings	Audio or videotapes of open meetings of the State Bar of Texas Board of Directors and Board of Directors Committees, including the Executive Committee.	AC			90	Official approval of written minutes of the meeting by the Board of Directors or Board Committee			



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B1-05	1.1.059	Board of Directors Closed Meeting Certified Agendas and Audiovisual Recordings	Certified agendas or tape recordings of the State Bar of Texas Board of Directors and Board of Directors Committees, including the Executive Committee	AC	2			The date of the meeting or completion of pending action involving the meeting, whichever is later			Government Code, 551.104(a).
B1-06	1.1.061	Notes Taken to Prepare Board of Directors Meeting Minutes	Notes taken during open meetings of the State Bar of Texas Board of Directors and Board of Directors Committees, including the Executive Committee from which written minutes are prepared.	AC			90	Approval of the formal minutes by the Board of Directors or Board Committee			
B1-07	1.1.040	State Bar Leadership Speeches, Papers, and Presentations	Notes or text of speeches, papers, presentations, or reports delivered by State Bar leadership (officers, Board members, Executive Director) in conjunction with agency work.	AC				End of term in office or termination of service in a state position	O		



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B1-08		At-Large Director Nomination and Selection Records - Selected	Nomination and selection records for At-Large Directors (previously "Minority Directors") chosen to serve on the State Bar of Texas Board of Directors. Nomination packet (resume, letter of interest, letters of recommendation), nomination tracking spreadsheet, committee correspondence, voting survey.	AC	1			After selection			
B1-09		At-Large Director Nomination and Selection Records - Not Selected	Nomination and selection records for At-Large Directors (previously "Minority Directors") not chosen to serve on the State Bar of Texas Board of Directors. Nomination packet (resume, letter of interest, letters of recommendation), nomination tracking spreadsheet, committee correspondence, voting survey.	AC	1			After application is denied			



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C3-01		Case Management Database	Tracks both CAAP mediation/dispute resolution and Grievance Hotline activity. Includes call tracking form, client and attorney information, and incident information. Used to generate case management notes.		3						
C3-02		Case Management Notes	Database-generated list of all actions taken on a given case.		3						
C3-03		Client Files	File for each client of CAAP mediation/dispute resolution services. Includes Request for Assistance Form; Attorney profile from iMIS; correspondence between clients, CAAP, and attorneys; CAAP notes.	AC		6		Termination of active relationship with client		Note: These records are confidential and nontransferrable to the CDC.	
C3-04		Request for Assistance Forms	Initiates CAAP dispute resolution process. Includes CAAP disclaimer and waiver of attorney-client privilege. Filed in Client File.	AC		6		Termination of active relationship with client		Note: These records are confidential and nontransferrable to the CDC.	
C1-01	1.1.058	CFLD Meeting Agenda and Minutes	Official agenda and minutes of Commission for Lawyer Discipline meetings. Includes any exhibits to the minutes.	PM					I		



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C1-02	1.1.062	CFLD Meeting Supporting Documentation	Documents submitted at meetings of the Commission for Lawyer Discipline. Includes meeting packets, memos of attorney's recommendations to the commission, administrative information, financials, and statistical reports. Supporting documentation may be distributed at the meeting or sent in advance of meetings for briefing purposes.		2						
C1-03		CFLD Reports to the State Bar of Texas Board of Directors	Quarterly disciplinary system reports submitted to the State Bar of Texas Board of Directors.		2					Note: official copy appears in the Permanent Minutes of the State Bar of Texas Board of Directors.	
C1-04		Grievance Committee Nomination Forms	Form used by State Bar Board of Directors member to nominate prospective Grievance Committee members. Gathers information on area of practice, firm size, basic identification information, and background check release.		3						Texas Disciplinary Rules of Professional Conduct, Rule 2.03



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C1-05		Client Security Fund Files	Client application (and associated evidence?) for financial relief from the Client Security Fund following demonstration of theft or failure to refund unearned fees through the grievance process	AC	15			Claimant has been paid or claim denied			
C1-06		Ethics Helpline Records	Notes and phone records from Ethics Helpline calls handled by Ethics Attorneys.	CE	1						
C1-07		Cessation of Practice Records	Documentation of the Chief Disciplinary Counsel's involvement in the cessation of a law practice in the event an attorney dies, disappears, or becomes incapacitated, leaving a law practice for which no other attorney licensed to practice in Texas has agreed to assume responsibility. May include, but is not limited to, correspondence, investigation records, and attorney work product.	AC	2			Cessation of practice complete			



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C1-08	1.1.048	CDC Litigation Files - Non-Grievance	Records created by or on behalf of the Chief Disciplinary Counsel's office in anticipation of or in the adjudication of a lawsuit not related to an attorney discipline grievance.	AC	1			As applicable, decision of CDC 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.	O		
C2-01		Screening Action Report	Report completed for every grievance case classifying the grievance as an inquiry (dismissed) or a complaint (not dismissed)	PM							
C2-02		Inquiry Files	Documentation of a grievance filed and classified as an inquiry, i.e. dismissed. Includes Grievance Intake records (Grievance Form and supporting documentation). Does not include Screening Action Report (C2-01).	AC			180	Dismissal date		The content of inquiry files is confidential, pursuant to Rule 2.16 T.R.D.P. A	Rule 2.13 T.R.D.P.



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C2-03		Investigator's Reports	Report created following investigation to determine whether there is Just Cause.	PM						Confidential document, pursuant to Rule 2.16 T.R.D.P.	
C2-04		Summary Disposition Hearing Reports	Report on outcome of Summary Disposition Panel (SDP) hearing, which is held after No Just Cause determination for SDP to vote on whether to dismiss or proceed with the complaint.	PM						Confidential document, pursuant to Rule 2.16 T.R.D.P.	
C2-05		Summary Disposition Dismissal Files	Documentation of a grievance in which No Just Cause is determined. Includes records from Grievance Intake (Grievance Form and supporting documentation), as well as investigation records, appeal notifications, BODA decision, responses, rebuttals, additional supporting documentation, hearing notifications, and Grievance Committee panel attendance report.	AC			180	Dismissal date			Rule 2.13 T.R.D.P.



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C2-06		Grievance Litigation Files - No Sanction, Non-Suits, Dismissals	Litigation file for a grievance with the outcome of no sanction, non-suit, or dismissal by Commission for Lawyer Discipline (CFLD), in the event new information comes to light that determines there is no case, despite an earlier Just Cause determination or in the case of a Grievance Referral Program (GRP) dismissal. In addition to litigation records, includes everything from Grievance Intake, investigation, and Election Letter/Notification (in which respondent is informed of Just Cause determination and given the opportunity to elect where the case will be heard).	AC	2			Non-Suit entered or case dismissed		Portions of these records may be confidential, pursuant to Rule 2.16 T.R.D.P.	



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C2-07		Grievance Litigation Files - Disbarments and Resignations in Lieu of Discipline	Litigation file for a grievance with the outcome of disbarment or resignation in lieu of discipline. Includes petition, public judgment, compliance documentation, and appeals documentation, as well as everything from Grievance Intake, investigation, and Election Letter/Notification.	PM				Final judgment entered		Portions of these records may be confidential, pursuant to Rule 2.16 T.R.D.P.	
C2-08		Grievance Litigation Files - Sanctions (except disbarments and resignations in lieu of discipline)	Litigation file for a grievance with the outcome of sanctions other than disbarment or resignation in lieu of discipline, i.e. suspension or reprimand. Includes petition, public judgment, compliance documentation, and appeals documentation, as well as everything from Grievance Intake, investigation, and Election Letter/Notification.	AC	2			All terms and conditions met		Portions of these records may be confidential, pursuant to Rule 2.16 T.R.D.P.	



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C2-09		Disability Records	Litigation files for a grievance resulting in a disability determination notification/order reported to the Chief Disciplinary Counsel. Includes pleadings, petitions, orders, case information, and reinstatement records	AC	2			Disability suspension lifted and attorney reinstated to practice law			
C2-10		Final Public Judgment Files	"Closing Packet" for final public judgment. Contains judgment, disciplinary petition, findings of fact, and compliance documentation (including payment receipts)	PM				Final judgment entered	I		
C2-11		Final Private Judgment Files	"Closing Packet" for final private judgment. Contains judgment, disciplinary petition, findings of fact, and compliance documentation (including payment receipts)	PM				Final judgment entered	I	These records are confidential, pursuant to Rule 2.16 T.R.D.P.	



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C2-12		Compliance Records-Case Files	Records documenting terms of final judgment and compliance with those terms. Include judgment, compliance demand letters, rehabilitation requirements, affidavits for license, correspondence, and copies of checks related to final judgment.	AC	3			All conditions of the disciplinary judgment have been met			
C-13		Proof of Compliance	Records documenting compliance with terms of final judgment, such as copies of checks received and bar card affidavits.	PM						Portions of these records may be confidential, pursuant to Rule 2.16 TRDP	
C2-14		Grievance Referral Program Records-Case Files	Grievance Referral Program compliance records, including rehabilitation terms & conditions.	AC	2			All conditions of Program compliance have been met.		Portions of these records may be confidential, pursuant to Rule 2.16 TRDP	



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C2-15		Grievance Questionnaires/Surveys	Questionnaires or surveys distributed to complainant at final outcome of grievance, whether classified as inquiry (intake), given no just cause determination (upgrade), or taken through litigation. Source of statistics for "Grievance Oversight Report," submitted to Grievance Oversight Committee.	FE	1						Government Code, 81.072(b)(12)
E1-01		Elections, Referendum and Bar Leadership	Only the final, certified results for Referenda and Bar Leadership elections.	PM							
E1-02		Election and Referendum Activity Reports	Includes both daily and final activity reports on ballot returns throughout election process. Does not include final official certified results.		2						
E1-03		Ballots	Elections, referenda, and judicial poll ballots.		2						
E1-04		Elections, Judicial Polls	Includes only the final official certified poll results.	PM							



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E1-05		Election Data	Elections, referenda, and judicial poll data. Data used to produce election/referendum and judicial poll activity reports.		2						
E1-06		Judicial Poll Activity Reports	Includes both daily and final activity reports on ballot returns throughout judicial poll process. Does not include final official certified results.		2						
E2-01	1.1.011	Executive Orders	Any document that initiates, rescinds, or amends a regulation, policy, or procedure that governs the programs, services, or projects of an agency. Includes Supreme Court Orders.	US	3				I		
E2-02	1.1.073	Administrative Hearings	Transcripts and final decisions of hearings conducted as part of the regulatory process, and hearings on proposed rules and changes. The records may be maintained with related information including meeting notices, proofs of publication, and meeting minutes.	AC	3			Last action	O		



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E2-03	1.1.071	Agency Rules, Policies, and Procedures - Working Files	Working files used in the development of manuals, guidelines, administrative rules, or similar records 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, policies, and procedures that govern an agency's programs, services, or projects.	AC	3			Completion or termination of program, rules, policies, or procedures	O	SEE item number E2-04, Agency Rules, Policies, and Procedures - Final.	



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E2-04	1.1.070	Agency Rules, Policies, and Procedures - Final	Manuals, guidelines, administrative rules, or similar records 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, policies, and procedures that govern an agency's programs, services, or projects. Includes State Bar Act, State Bar Rules, Texas Disciplinary Rules of Professional Conduct, Texas Rules of Disciplinary Procedure, and Board Policy Manual, as well as any supplemental procedures governing the Bar's regulatory responsibilities, such as Advertising Review and Minimum Continuing Legal Education (MCLE).	AC	3			Completion or termination of program, rules, policies, or procedures	O	SEE item number E2-03, Agency Rules, Policies, and Procedures - Working Files.	
E2-05	1.1.055	Strategic Plans	Information resources and operational strategic plans prepared in accordance with 2054.095 and 2056.002, Government Code.	AC	6			June 1 of odd-numbered calendar years	I		State Bar Act, Sec. 81.0215.



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E2-06	1.1.068	Performance Measures Reports	Regular reports on agency performance measures submitted to the Board of Directors and Supreme Court.	AC	6						State Bar Act, Sec. 81.0215.
F1-01	5.2.001	Appraisals - Building or Property		AV					O		
F1-02	5.2.002	Building Construction Project Files	Planning, design, and construction records; accepted and rejected bids; correspondence; etc.	AC	10			Completion of project.	O	SEE item numbers F1-03, Building Plans and Specifications - Leased Properties; F1-04, Building Plans and Specifications - Owned Properties; and F1-05, Building Construction Contract and Inspection Records.	
F1-03	5.2.003	Building Plans and Specifications - Leased Properties	Includes architectural and engineering drawings, profiles, and blueprints. Leased properties.	AC	2			Termination or cancellation of lease.		SEE item numbers F1-04, Building Plans and Specifications - Owned Properties; F1-02, Building Construction Project Files; and F1-05, Building Construction Contract and Inspection Records	



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F1-04	5.2.003	Building Plans and Specifications - Owned Properties	Includes architectural and engineering drawings, profiles, and blueprints. State owned.	LA					O	SEE item numbers F1-03, Building Plans and Specifications - Leased Properties; F1-02, Building Construction Project Files; and F1-05, Building Construction Contract and Inspection Records	
F1-05	5.2.028	Building Construction Contract and Inspection Records	Building construction contracts, surety bonds, and inspection records.	LA	10				I		
F1-06		Inventory - Annual Physical	Property, equipment, supply verification	FE	3						
F1-07		Equipment Schedule	List of all agency equipment and date asset purchased.	LA							
F1-08	5.2.005	Calibration Records (Equipment or Instrument)	Annual preventive maintenance reports maintained by contractors. This may also include log books from annual calibration.		10						



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F1-09	5.2.019	Service Orders	Agency copy of forms completed by mechanical service personnel for installation or repair. Includes billing code, service, labor, parts, and remarks.		1						
F1-10	5.2.022	Utility Usage Reports		AV							
F1-11	5.2.027	Space Utilization Reports		AV							
F1-12	5.4.002	Evacuation Plans	Plans for evacuation of agency facilities in cases of emergency.	US							
F1-13	5.4.004	Fire Orders	Orders issued by Fire Marshal to correct deficiencies in compliance with the fire code.	AC	3						
F1-14	5.4.003	Inspection Records	Fire, safety, and other inspection records of agency facilities and equipment.	AC	3						
F1-15	5.4.007	Hazardous Materials Training Records			5						Texas Health and Safety Code, 502.009(g)
F1-16	5.4.010	Material Safety Data Sheets		AC				After sheets are updated or hazardous chemical no longer stored by agency, as applicable			



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F1-17	5.6.009	Parking Permits or Assignments		US							
F1-18	5.2	Video Surveillance	Physical security video surveillance captured on State-Bar-owned cameras installed on State-Bar-owned, -leased, or -shared property.	AV							
F1-19	5.4.012	Security Access Records	Records relating to the issuance of keys, identification cards, building passes, passwords, signed statements or similar instruments of access to agency or state facilities, equipment or automated systems.	AC	2			Until superseded, date of expiration, or date of termination, whichever sooner			
F1-20	5.4.011	Visitor Control Registers	Logs, registers, or similar records documenting visitors to limited access or restricted areas of agency facilities.		3						
G1-01	1.1.027	Proposed Legislation	Drafts of proposed legislation and related correspondence.	AV							
G1-02	1.1.074	Sunset Review Report and Documentation		AC	3			After the subsequent Sunset Review	O		



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					Years	Months	Days				
H1-01	3.1.023	Position/Job Descriptions	Job descriptions, including all associated task or skill statements, for positions in an agency.	AC	4			Until superseded or job eliminated			40 TAC 815.106(i).
H1-02	3.1.012	Employment Opportunity Announcements	Internal or external announcements or advertisements of job openings, promotions, training programs.		2						29 CFR 1602.31 [State Agencies].
H1-03	3.1.001	Applications for Employment - Not Hired	Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.		2						United States, Code of Federal Regulations, 29 CFR 1602.31 [State Agencies].
H1-04	3.1.002	Applications for Employment - Hired	Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.	AC	5			Termination of employment			



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H1-05	3.1.014	Employment Selection Records	Includes notes of interviews with candidates, questions asked of applicants and all other records that document the selection process.		2					Caution: Does not include criminal history checks. See item number H2-03.	29 CFR 1602.31 [State Agencies].
H1-06	3.1.029	Employment Eligibility, Documentation or Verification of	Federal reporting form (INS I-9).	AC	5			Termination of employment		Caution: Federal regulation requires that INS 1-9 forms be retained for 3 years from date of hire or 1 year after separation of the employee, whichever is later. Agencies should make certain that the INS I-9 forms for employees who terminate from an agency less than 3 years from date of hire are kept for the 3 year retention period.	8 CFR 274a.2(b)(2)(i)(A) and (c)(2).
H1-07		Position Offer Form	Contains posting number, job title, department information, signatures, offer date, date of orientation, and who made the offer.	AC				Termination of employment			



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H1-08	3.1.034	Resumes - Unsolicited	The State Bar of Texas does not accept unsolicited resumes.	AV						SEE item number H1-05, Employment Selection Records, for resumes, whether solicited or unsolicited, that are used in any way in the employment selection process.	
H2-01	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, employee number, evaluation date, and termination of employment.	AC	5			Termination of employment			29 CFR 1602.31 [State Agencies].
H2-02	3.1.038	Public Access Option Form	Form completed and signed by employee or official, or former employee 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.	AC	5			Termination of employment		SEE item number H3-03, Former Employee Verification Records	



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H2-03	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				Criminal history record has served the immediate purpose for which it was obtained			Subchapter F, Chapter 311, Government Code
H2-04	3.1.011	Employee Insurance Records	Agency copies of information relating to the selection by employees of life, disability, health, and other types of insurance offered by the State of Texas to its employees.	AC				Until superseded or termination of employment		Caution: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item number P2-06, Employee Deduction Authorizations.	
H2-05	3.1.031	Employee Benefits - Other than Insurance	Agency copies of information relating to the selection of available benefit options other than insurance.	AC	5			Until superseded or termination of employment.		Caution: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item number P2-06, Employee Deduction Authorizations.	



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H2-06	3.1.018	Employee Grievance Records	Records relating to the review of employee grievances against personnel policies, working conditions, etc.	AC	2			Final decision on the grievance.		Caution: Does not include formal complaints filed by an agency employee with the Equal Employment Office (EEO) of the U. S. Department of Labor. SEE item number L3-01, Litigation Files.	
H2-07	3.1.019	Performance Appraisals			2						29 CFR 1620.32(c).
H2-08	3.1.020	Personnel Corrective Action Documentation	Corrective actions are those actions which do not affect pay, status, or tenure and are imposed to correct or improve an employee's job performance.	AC	5			Termination of corrective action.		Caution: If, during the retention period of this records series, any part of this series is used to document and support personnel disciplinary action, all documentation from this series used to support disciplinary action must be retained for the the minimum retention period described by item number H2-09, Personnel Disciplinary Action Documentation	



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H2-09	3.1.021	Personnel Disciplinary Action Documentation	Disciplinary actions are those actions which may affect pay, status, or tenure. They are imposed to discipline an employee whose conduct is harmful to the best interests of the state, the agency, or the employee work force; and for failure to improve performance or conduct following imposition of corrective action. May include cause for demotion, suspension, or dismissal, and the reasons for failure to give written notice of resignation. May also be used to document evidence of employee self-improvement efforts, as well as favorable and unfavorable communication.	AC	5			Termination of employment			
H2-10		Employee Assistance Program Counseling Records		AC	5			Termination of counseling			
H2-11	3.1.037	Employee Recognition Records	Awards, incentives, tenure, etc.	AC	5			Termination of employment			



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H2-12	3.3.023	Requests and Authorizations to Engage in Reimbursable Education and Training	Requests and authorizations to attend college classes or equivalent training for which the expenses of the employee are defrayed or reimbursed.	FE	3					Note that Requests and Authorizations for Out of State Travel (M1-15) are retained by Department Directors.	
H2-13	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			Termination of employment			
H3-01	3.3.030	Training Administration Records	Instructional materials and other records associated with in-house training of agency personnel on personnel policies and procedures and other policies and procedures that govern an agency's programs, services, or projects.	US	2						
H3-02	1.1.041	Internal Suggestion System Records	Suggestions submitted by agency personnel and responses, including regular Employee Opinion Surveys.		1						



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H3-03	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			Termination of employment		See item number H2-02, Public Access Option Form.	
H3-04	3.3.015	Position/Job Classification Review File	Records relating to review and monitoring of job classifications within an agency, including any compensation studies.	US	3						
H3-05	3.2.006	Wage Rate Tables			2						
H3-06	3.3.026	Agency Staffing Reports	Any reports compiled by an agency on aspects of personnel staffing, including listings of all staff by program or name, staff hired during a month, detailed listings of employees within its organizational structure, position vacancies, analyses of turnover rates and seasonality of employment, etc.	US	3						
H3-07	3.3.010	Labor Statistics Reports	Reports providing statistical information on labor force.		3						



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H3-08	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.
H3-09	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.		3						29 CFR 1620.32.
H3-10	1.1.056	ADA (Americans with Disabilities Act) Documentation	Self evaluations and plans documenting compliance with the requirements of the Americans With Disabilities Act.		3						US Department of Labor, Code of Federal Regulations, 28 CFR 35.105(c).
H3-11	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					The Texas Department of Insurance retains copies of the reports submitted to it for 50 years.	United States, Code of Federal Regulations. 29 CFR 1904.33.
H4-01	3.4.006	Time Cards and Time Sheets			4						40 TAC 815.106(i).



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H4-02	3.4.001	Accumulated Leave Adjustment Requests	Used to create employee leave balances, to transfer leave balances when an employee transfers positions, to adjust carry-over balances on May 31, to correct errors on leave accumulation, and to close out leave accounts on separated employees.	FE	3						
H4-03	3.4.002	Leave Status Reports	Cumulative report is issued each pay cycle and provides employee leave status information for each position.	FE	3						
I1-01	2.1.002	Computer 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				Completion of data content verification, or completion and confirmation of 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.		Automated processing files that fall under records series listed elsewhere must be maintained in accordance with most restrictive applicable retention schedule.	



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I1-02	2.1.001	Computer Processing Files	Machine-readable files used in the creation or updating of master files.	AC				Completion of data content verification, or confirmation of successful transaction processing, or required audit trail maintenance, or after the need to restore or migrate when errors are detected has passed, or when hardware or software changes occur.		Automated processing files that fall under records series listed elsewhere must be maintained in accordance with most restrictive applicable retention schedule.	
I1-03	2.1.007	Software Programs	Automated software applications and operating system files including job control language, program listing/source code, etc.	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.			13 TAC 6.94.



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11-04	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 hardware or software 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				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, to the extent such documentation is not readily available from the original provider/originator (e.g. software/hardware vendor)			13 TAC 6.94.	



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I1-05	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 back-up, etc.	US	3						
I1-06	2.2.012	Output Records for Computer Production	Reports showing transactions that were accepted, rejected, suspended, and/or processed. Payment gateway (Paypal, authorize.net) reports sent directly to accounting.	AV							
I1-07	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				All audit requirements have been met			



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I1-08	2.2.013	Quality Assurance Records	Information verifying the quality of system, hardware, or software operations including records of errors or failures and the loss of data resulting from such failures, documentation of abnormal termination and of error free processing, checks of changes put into production, transaction histories, and other records needed as an audit trail to evaluate data accuracy.	AC				No longer needed as an audit trail for any records modified			
I1-09	2.2.001	System Monitoring Records	Electronic files or automated logs created to monitor computer systems such as print spool logs, console logs, tape activity logs, etc.	AV							
I1-10	2.2.004	Computer Backup Job Schedules and Reports	Schedules or similar records showing computer jobs to be run and other reports by computer operators or programmers of work performed.				3			Retain until all audit requirements have been met; or when necessity of such data records for backup / recovery purposes no longer exists.	



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I1-11	5.2.006	Property Destruction, Certificates of	Certificates from computer vendor certifying the destruction of servers/drives returned to the company at the end of a lease.	FE	3						
L1-01		CPE Credit Documentation	Includes participant lists and sign-in sheets, summary, and agenda. Submitted to TEA annually, both for crediting teachers and courses.	AC	3			Submitted to TEA			
L1-02		CPE Provider Registration Documentation	Initial application - "CPE Provider Registration Application." Renewal - "CPE Provider Continuing Approval Annual Update Form"	AC	3			Application approved			
L1-03		Grant Records - Funds Received		AC	3						
L1-04		LFEI Non-Profit Reporting	Grant progress reports and final reports, including financials, submitted to the Secretary of State	AC	4			After submission			
L2-01		Current Applications - Lawyer Referral	Application for membership on the Lawyer Referral Service panel and accompanying required documents, including professional liability insurance declaration page.	US	1						



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L2-02		Non-Current Applications - Lawyer Referral	Participant file becomes non-current when attorney does not renew membership. Contains application for membership on the Lawyer Referral Service panel and accompanying required documents, including professional liability insurance declaration page, and Close-Out Packet items, such as information about outstanding referrals.	AC	2			Last application date			
L2-03		Referral Records	Client's name, attorney's name and location, case number, if client consulted with attorney	AC	1			After consultation has been made, or if not made, after client has received referral and assigned a case number			
L2-04		LRS Certification Applications	Local service contact information, program, and membership details.	US	5						



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L3-01	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			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	O		
L3-02	1.1.075	Alternative Dispute Resolutions - Final Agreement	Final agreement described by Government Code 2009.054(c), associated with a matter conducted under an alternative dispute resolution procedure in which personnel of a state agency participated as a party on the agency's behalf.	AC	4			Date of final agreement or after all requirements under the agreement are fulfilled.			Texas Civil Practice and Remedies Code , Chapter 154.071.
L3-03	1.1	Subpoenas		AC	2			Date request filled			



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L3-04	1.1	Government Information Requests	Non-subpoena requests for information, such as letter requests, received by the Bar from a governmental entity. Governmental transfer of confidential information for the limited use of that government entity, not intended for release to the public.	AC	2			Date request filled			
L3-05	5.1.013	Insurance Policies, Executed on or after 9/1/2015	For vehicles, equipment, etc.	AC	7			Expiration or termination of the policy according to its terms			
L3-06	5.1.013	Insurance Policies, Executed on or before 8/31/2015	For vehicles, equipment, etc.	AC	4			Expiration or termination of the policy according to its terms			Government Code, 441.1855
L3-07	1.1.021	Public Information Requests	Includes all correspondence and documentation relating to requests for records under the Public Information Act (Chapter 552, Government Code).	AC	2			Request fulfilled or notification that records are exempt received			Government Code, 552
L3-08		Public Information Request Tracking Records	Log includes date received, requestor name, subject, whether AG exception sought, category, records produced, and closed date.	AC	3						



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M2-01		Membership Database Records	Membership database (iMIS) records. Manages Membership Records for Attorney Dues and Taxes. Includes name, name change, contact info, confidentiality, email, history of status changes and license information, demographics, social security number, gender, birthday, activity log and payments, grievances (syncs with CDC), areas of interest (marketing purposes), relationships with firms, and statements.	PM					I		
M2-02		New Attorney Registration	Registration form and payment.	PM					I		
M2-03		Member Information Update Documentation	Documentation of member information updates. Includes address changes, name changes, subscribe/unsubscribe requests, requests for bar cards and letters of good standing		2						



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M2-04		Membership Status Change and Dues Update Documentation	Documentation of membership status changes. Includes CDC judgments and disciplinary records, disciplinary suspension, administrative suspension, disbarment, inactive status, reinstatement, emeritus status, deceased member verification, Supreme Court Orders, Certificates, TGSLC) Texas Guaranteed Student Loan Corporation Records	FE	3				O		
M2-05		Exemption Waiver Documentation	Correspondence and associated documentation regarding hardship and military exemption waivers. Confidential.	FE	3						State Bar Rules, II.8
M2-06		Pending Member Information	Data from Board of Law Examiners on new attorneys, probationary attorneys, and foreign legal consultants.	AC				Data successfully migrated into membership database (iMIS)			
M2-07		Non-Attorney Registration and Dues Documentation	Law Student Associate Members, 3rd Year Trial Cards, Paralegal and Law Student Division, other non-attorney section members.		2						



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M3-01	1.1.070	MCLE Rules, Regulations, and Accreditation Standards - Final		AC	3			Completion or termination of program, rules, policies, or procedures	I		
M3-02		Accredited Sponsor Applications	Accredited sponsor application and fee collection. Must be renewed annually, as of 2011.	AC	1			Application approved			
M3-03		Course Approval Applications, Approved	Collects the following information: course title, date, payment options, type of presentation, number of attendees, location. Documentation attached to application: brochure, agenda, speaker information. Notification of Accreditation appears in database. Includes applications for Guardianship Ad Litem and Bail Bondsman courses.				13				



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M3-04		Course Approval Applications, Denied	Collects the following information: course title, date, payment options, type of presentation, number of attendees, location. Documentation attached to application: brochure, agenda, speaker information. Notification of Accreditation appears in database. Includes applications for Guardianship, Ad Litem, and Bail Bondsman courses. Denied applications can include appeal information, including documentation making appeal argument, fee payments, correspondence regarding Committee decision, record of any Board of Directors proceedings.		3						



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M3-05		Credit Input Forms	Attorney self-reporting MCLE credit hours. Primarily submitted online through Microsoft Dynamic CRM database. Paper forms received on Scantron, which is processed and uploaded to MS Dynamic CRM as a txt file. Credit information is retained permanently, but forms are only necessary after data entry as backup in case of errors.		1						
M3-06		Attendance Records, MCLE Approved Courses	Sponsors report attendance online, by email, or scantron card. Attorney can self-report. Includes attendance records for Guardianship Ad Litem courses.			6					



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M3-07		Suspension / Reinstatement Files	File includes all information leading up to suspension, including correspondence (letter of suspension) and suspension processing report (generated by MCLE database, includes documentation of notification and noncompliance). Once reinstated, file includes reinstatement letter.	PM							
P2-01		Payroll Journals		FE	4						
P2-02	3.2.002	Employee Earnings Records			4						40 TAC 815.106(i).
P2-03	3.4.003	Less Than Full-Time Worked Reports			4						40 TAC 815.106(i).
P2-04	3.2.008	Direct Deposit Application/Authorizations	Direct Deposit Application/Authorizations	US							
P2-05	3.2.004	Income Adjustment Authorizations	Used to make increases or decreases to employees' gross pay, FICA, retirement, or in the computation of taxes.	AC	5			Termination of employment.			29 CFR 516.6(c).



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P2-06	3.2.001	Employee Deduction Authorizations	Documentation used to start, modify, or stop all voluntary or required deductions from payroll, including garnishment or other court-ordered attachments.	AC	5			After termination of employee or after amendment, expiration, or termination of authorization, whichever sooner			29 CFR 516.6(c).
P2-07	3.2.009	State Deferred Compensation Records	State Deferred Compensation Records	AC	5			All accounts with a vendor or vendors for the individual participant have been closed		For instructions regarding the determination of the closure of accounts and for additional information regarding the retention period see the most current edition of the Benefits Coordinator Reference Manual issued by the Employees Retirement System of Texas.	29 CFR 516.6(c).
P2-08	3.2.007	Unemployment Compensation Records	Unemployment Compensation Records	AC	5			Termination of employment			
P2-09	3.3.022	Texas Workforce Commission (TWC) Reports	Reports sent to the agency from TWC pertaining to employees, or reports sent by the Bar.		3						
P2-10	3.2.003	Federal Tax Records	Includes 1099, W2, FICA, and other tax records.	AC	4			Tax due date, date the claim is filed, or date tax is paid whichever is later			26 CFR 31.6001 - 1(e)(2).



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P2-11	3.2.005	W-4 Forms	Employer's copy of "Employees' Withholding Exemption Certificate."	AC	4			Until superseded, obsolete, or upon separation of employee			26 CFR 31.6001-1 (e)(2).
P3-01		Printing Division Database Record	Tracks work orders, inventories, billing, and graphics jobs. Used to generate invoices.	AC	5			Record created			
P3-02		Printing and Graphics Work Order Packet	Packet created for each printing, mailing, or graphics job. Contains printing or graphics work order (pulled from Access database), graphics design, bids for large projects, order forms, proofs and approvals, correspondence, delivery slip, sample job, and a copy of invoice.	AC	2			Work order completed			
P3-03		Bulk Mail Permits	Nonprofit and Texas Bar Journal bulk mail permits. Require paying annual dues and all mailings set at that rate to comply with specific rules. Includes renewal forms and business reply permits.	AC	1			Permit issued			



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R1-01	1.2.005	Records Retention Schedule	Agency copy. Includes documentation of certification and approval (SLR 105C) and/or other forms designated by the State Records Administrator.	US							
R1-02	1.2.010	Records Disposition Logs	Logs or similar records listing records destroyed or transferred to the Archives and Information Services Division, Texas State Library and Archives Commission, showing records series title, dates of records, and date destroyed or transferred.		10						
R1-03	1.2.008	Request for Authority to Dispose of State Records (RMD 102)	Agency copy. Form used for items such as records series not on the SBOT retention schedule and for paper copies of microfilm permanent records.	FE	3						Original is retained for FE + 20 by the State and Local Records Management Division, Texas State Library and Archives Commission.



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R1-04	1.2.012	Records Inventory Worksheets	Forms created by Records Management staff during a records inventory and used to compile information about agency department and volunteer group records.	US							
T1-01		Case Intake Notes	Includes name, date, location of attorney, problem, referral source, and action taken	AC				TLAP Professional assistance completed		These records are confidential and private.	See Texas Health and Safety Code, Chapter 467 and Texas Government Code, Section 522.101
T1-02		Monthly Utilization Reports	Monthly reports tracking TLAP service utilization statistics and other program activities. Used to create TLAP annual reports.	AC				Annual report submitted			SEE item number P1-10, Reports and Studies Non-Fiscal - Final, for TLAP annual reports.
T1-03		Monitoring Records	Name of attorney, name of monitoring agency, oath, attorney agreement, reports, logs of meetings attended, results of drug testing, documentation of release from program.	AC				Attorney has completed the monitoring process		These records are confidential and private.	See Texas Health and Safety Code, Chapter 467 and Texas Government Code, Section 522.101



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T1-04		Volunteer Database	Contains information from Volunteer Files.	US							See Texas Health and Safety Code, Chapter 467 and Texas Government Code, Section 522.101
T1-05		Volunteer Files	Contact information and questionnaire responses of peer support volunteers.	AC				Until superseded or after volunteer terminates relationship with TLAP		These records are confidential and private.	See Texas Health and Safety Code, Chapter 467 and Texas Government Code, Section 522.101
T1-06		Resource Database	Contains information provided in resource file forms.	US							
T1-07		Resource Files	Form filled out by treatment professionals including their licensure, areas of expertise, fees, and contact information.	AC				Until superseded or TLAP no longer maintains a relationship with the resource			



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T1-08		Sheeran-Crowley Memorial Trust Grant Applications - Granted		AC	3			Grant requirements completed			See Texas Health and Safety Code, Chapter 467 and Texas Government Code, Section 522.101
T1-09		Sheeran-Crowley Memorial Trust Grant Applications - Denied		AC	3			Grant denied			See Texas Health and Safety Code, Chapter 467 and Texas Government Code, Section 522.101
T2-01		TYLA Board Meeting Agendas and Minutes	Agendas, minutes and supporting documents of TYLA meetings.	PM					I		TYLA Bylaws, III.3.d
T2-02		TYLA Board Meetings Supporting Documentation	Documents submitted at TYLA meetings, including exhibit items, documentation for agenda items, etc. Includes packet of documents sent in advance of meetings for briefing purposes, some of which may not be submitted at an actual meeting.		2				I		



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T2-03		TYLA Meetings - Notes to Prepare Meeting Minutes	Notes taken during TYLA meetings, from which written minutes are prepared.	AC				Official meeting minutes are approved			
T2-04		TYLA Leadership Election Records	Records documenting the nomination and election of TYLA officers (Chair, Vice President, Secretary, Treasurer) by the TYLA Board.	AC	3			Election finalized			TYLA Bylaws, III.2
T2-05		TYLA At-Large Director Applications - Unsuccessful	Letters of Interest and biographies submitted by unsuccessful applicants.	AC				Selection process complete			
T2-06		TYLA At-Large Director Applications - Successful	Letters of Interest and biographies submitted by successful applicants, and congratulatory email messages.	AC	2			Selection process complete			