

June 9, 2020



Cera Thornton
Public Information Coordinator
Texas Commission on Law Enforcement
6330 U.S. Hwy. 290E, #200
Austin, TX 78723

Dear Ms. Thornton,

Your agency's records retention schedule is approved for use as of **6/3/2020**, 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 Please ensure that all old copies of the schedule are superseded with this certified copy.

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 according to a timeline established by the Texas State Library and Archives Commission. Your next recertification is scheduled for **June 2025**.

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:

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 Chair
Martha Wong

Members
David C. Garza
F. Lynwood Givens
Larry G. Holt
Arthur T. Mann
Bradley S. Tegeler
Darryl Tocker

Director and Librarian
Mark Smith

Assistant State Librarian
Gloria Meraz

Erica Siegrist
512-463-6623
esiegrist@tsl.texas.gov

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 "Craig 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 407
Agency Name Texas Commission on Law Enforcement (TCOLE)

(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 Cera Thornton
Name (Print or type) Cera Thornton
Date 11/25/2019

Section 2. Approvals

(Submitting agencies do not write in this section)

State Auditor's Office
Signature
Name (Print or type)
Date
Not Required at This Time

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

Signature Gloria Mera
Name (Print or type) Gloria Mera
Date 6/3/2020

Cert/Recert No. 8 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.





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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: 407		2. Agency Name: Commission on Law Enforcement									
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				
300CU	1.1	Curriculum Files - Academic Provider Files	Includes Applications, Contracts, Governing Body Resolutions, Advisory Board Resumes, Evaluations, Self-Assessments, Complaints and Correspondence.	PM							
301CU	1.1	Curriculum Files - Academy and Contract Training Provider Files	Includes Contracts, Evaluations, advisory board resumes, self-assessments, Complaints and Correspondence.	PM							
200CR	1.1	Credentialing Files	Documents used to verify the minimum standards & education for licensing by Texas Commission on Law Enforcement (TCOLE).	PM						Open and confidential records are contained in these files (criminal history, F.A.S.T. reports, out-of-state and military documents).	Texas Government Code, Sec. 411.112.
201CR	1.1	Credentialing Files	Licensing Files -deceased.	AC	75			AC = End of Watch date.	A	Keep records in agency for 5 years, then move to storage for 70 years.	
202CR	1.1	Credentialing Files	Applications for specialist Proficiency Certificates.	PM							
203CR	1.1	Credentialing Files	Endorsements of Eligibility for Exam Applications.	PM						Stored with licensing records.	
206CR	1.1	Credentialing Files	Licensee Appointment/Termination Records.	PM						Pursuant to Texas Occupations Code 1701.301 and 1701.307 as evidence of qualification for licensing.	
903T	1.1	Credentialing Files	State exam for licensure and certification.	PM							



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400E	1.1	Enforcement Files	Investigative files.	AC	5			AC = After case is closed.		Includes disciplinary actions. Physical (paper) file can be destroyed after all documents and final action are electronically imaged into database and network.	
814S	1.1	Special Services	Applications for Law Enforcement Agency Number.	AC	5			AC=After agency has closed.		Recognition of new L.E. agency with assignment of new number.	
500F	1.1.002	Audits	Audits and reviews on TCOLE performed by or on behalf of an agency, including the working documents that support the audit.	AC	7			AC=Publication or release of final audit findings.		The State Auditor's Office retains any copies of its audits performed on Texas state agencies.	
800S	1.1.002	Audits	Audits of law enforcement agency and related correspondence.	AC	7			AC=Publication or release of final audit findings includes when the audit is completed, any action taken and resolution.		External audit of a law enforcement agency by TCOLE officials.	
501F	1.1.004	Legislative Appropriation Requests	Including any support documentation created and/or used to justify and support legislative appropriations requests by an agency.	AC	6			AC= September 1 of odd calendar years.	A	Archival Note: The archival requirement is met by sending the required copies of request to the Texas State Publication Depository Program, Texas State Library and Archives Commission. Only copies of supporting documentations submitted to the Legislative Budget Board are archival.	



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402E	1.1.006	Complaint Records	Complaints received by an agency from the public concerning the agency and records pertaining to the resolution of the complaint.	AC	2			AC=Final disposition of complaint		Informal Complaints-policies, rules, or general operating methods are questioned. These complaints are referred to the proper division manager. If an employee is involved, the issued is handled according to the disciplinary policy. Formal Complaints-failure of employees to adequately and professionally perform their duties, serious violations of policies or rules which adversely affect the ability to complete its mission or create a loss of public trust, or alleged criminal acts committed by employees. . Caution: If a complaint becomes the subject of litigation, it must be included in and is subject to the minimum retention period of AIN 701L.	



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403E	1.1.006	Complaint Records	Enforcement Complaint Files - Licensee.	AC	2			AC=Final disposition of complaint.		Physical (paper) file is destroyed after electronically imaged into database. Jurisdictional Complaints-may investigate violations of law or rules that relate to the licensing, training, certification, appointment of a license holder, or the conviction or placement on deferred adjudication of a license holder for a covered criminal offense. Caution: If a complaint becomes the subject of litigation, it must be included in and is subject to the minimum retention period of item number 1.1.048; AIN 701L.	Texas Occupations Code 1701.203.
700L	1.1.006	Complaint Records	Challenge of separation report (F-5) of licensee.	AC	2			AC=Final disposition of the complaint.		Physical (paper) file is destroyed after electronically imaged into database. Caution: If a complaint becomes the subject of litigation, it must be included in and is subject to the minimum retention period of item number 1.1.048, 701L.	Pursuant to TX Occupations Code 1701.4525.



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100A	1.1.007	Administrative Correspondence	Incoming/outgoing and internal correspondence pertaining to the formulation, planning, implementation, interpretation, modification, or redefinition of the programs, services, or projects of an agency and the administrative regulations, policies, and procedures that govern them.	AC	4			AC = after closed when the correspondence is considered closed, terminated, completed, expired or settled.	R	Archival Note: Only the administrative correspondence of executive staff, board or commission members, division directors and program heads require archival review. Caution: This records series and item number 1.1.008 should be used only for correspondence that is not included in or directly related to another records series on the agency's approved schedule. For example, a memorandum that documents an appropriations request must be retained for the minimum retention period prescribed by item number 1.1.004; a letter concerning an audit for that prescribed by item number 1.1.002, etc. SEE ALSO item number 1.1.011.	
600G	1.1.008	General Correspondence	Non-administrative incoming/outgoing and internal correspondence, in any media, pertaining to or arising from the routine operations of the policies, programs, services, or projects of an agency.		2					SEE comment to item number 1.1.007 and 1.1.010.	



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101A	1.1.010	Administrative Directives	Any document that officially initiates, rescinds, or amends general office procedures.	US	1						
102A	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.	US	3				A		
601G	1.1.013	Calendars, Appointment and Itinerary Records	Calendars, appointment books or programs, and scheduling or itinerary records, purchased with state funds or maintained by staff during business hours that document appointments, itineraries and other activities of agency officials or employees.	CE	1				R	Archives: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the State Archives when these records have met their retention periods. CAUTION: A record of this type purchased with personal funds, but used by a state official or employee to document his or her work activities may be a state record and subject to this retention period. See Open Records Decision 635 issued in December 1995 by the Attorney General.	See Open Records Decision 635 issued in December 1995 by the Attorney General.



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					Years	Months	Days				
103A	1.1.014	Legal Opinions by Office of Attorney General	From TCOLE legal counsel or the Attorney General, including any requests eliciting the opinions.	AV					R	CAUTION: Does not include legal opinions or advice rendered on a matter in litigation or with regard to pending litigation. SEE item number 1.1.048.	
104A	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				R		
105A	1.1.020	Public Information Requests - Letter Ruling Required	Includes all correspondence and documentation related to requests for records that are furnished to the public under Public Information Act that require an Office of the Attorney letter ruling for non-disclosure exceptions (Chapter 552, Government Code).	AC	2			AC=Date request was fulfilled according to the Office of Attorney General letter ruling.			
106A	1.1.021	Public Information Requests	Includes all correspondence and documentation related to requests for records that are furnished to the public under the Public Information Act that no not require an Office of the Attorney letter ruling for non-disclosure exceptions (Chapter 552, Government Code).	AC	2			AC=Date request was fulfilled.			
107A	1.1.023	Organization Charts		US					A		



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134A	1.1.024	Event Planning Records	Working papers, records of attendance, individual evaluation sheets, cost sheets, billing statements, memos, copies of contracts, correspondence, and all other supporting documentation for events held by TCOLE including conferences or promotional events that are hosted by TCOLE.	AC	3			AC = contract completed or all work for event completed.		Caution: Do not confuse this record series with training materials created by TCOLE for internal or external use.	
108A	1.1.024	Administrative Plans, Studies, 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			AC=Decision made to implement or not to implement result of planning process.	R	Archival Note: Data processing planning records are not archival.	
109A	1.1.026	Agency Rules Review 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.	AC	1			AC=date of publication in the Texas Register for official document.			
110A	1.1.040	Speeches, Papers and Presentations	Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	PM					R		
302CU	1.1.043	Training Materials	Instructional materials developed by TCOLE for training entities or individuals it regulates or serves. Documentation on Training Course Development.	PM						Training Materials-Historic Files. Instructional materials both paper and electronic.	



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304CU	1.1.043	Training Materials	Training Projects, Curriculum, Student/Instructor Records and Program History for each Project Funded by Grant.	AC	3			AC=After close of grant and fiscal year audit.		Includes both paper and electronic.	
701L	1.1.048	Litigation Files	Litigation files regarding a licensee - Records created by or on behalf of TCOLE in anticipation of or in the adjudication of a lawsuit.	AC	5			AC=As applicable, decision of an agency not to file a lawsuit or decision that a lawsuit will not be filed against it on a matter; dismissal of a lawsuit for want of prosecution or on motion of the plaintiff; or final decision of a court (or of a court on appeal, if applicable) in a lawsuit.	R	Legal, Litigation Files - Licensee. Includes disciplinary actions. Physical (paper) file destroyed after documents and final order are electronically imaged into database and network. Archives Note: Cases that set legal precedent or exhibit historical value will be evaluated by the Archives and Information Services Division of the TSLAC for archival preservation. Agency policy to retain longer than TSLAC minimum.	
702L	1.1.048	Litigation Files	Litigation files regarding a non-licensee - Records created by or on behalf of TCOLE in anticipation of or in the adjudication of a lawsuit.	AC	1			AC=as applicable, decision of an agency not to file a lawsuit or decision that a lawsuit will not be filed against it on a matter; dismissal of a lawsuit for want of prosecution or on motion of the plaintiff; or final decision of a court (or of a court on appeal, if applicable) in a lawsuit.	R	Archives Note: Cases that set legal precedent or exhibit historical value will be evaluated by the Archives and Information Services Division of the TSLAC for archival preservation.	



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704L	1.1.048	Subpoenas	Subpoenas Duces Tecum received by TCOLE Public Information Coordinator to produce documents.	AC	1			AC= After completion.			
111A	1.1.055	Strategic Plans	Information resources and operational strategic plans prepared in accordance with § 2054.095 and § 2056.002, Government Code.	AC	6			AC=September 1 of odd-numbered calendar years.	A	Archival: Transfer to Archives and Information Services Division. Archives Note: The archival requirement is met by sending the required copies of the plans to the Texas State Publications Depository Program, TSLAC.	§ 2054.095 and § 2056.002, Government Code.



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602G	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				AC=Purpose of record has been fulfilled.		CAUTION: An agency must make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented though destruction authorizations (1.2.001) or in records disposition logs (1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (1.2.014).	



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112A	1.1.058	Meeting Agenda and Minutes	Official agenda and minutes of state boards, committees, commissions, and councils that conduct open meetings as required by Government Code, Chapter 551.	PM					A	Archives Note: Agency retains permanent record copy. The archival requirement will be met by sending a copy to the Archives and Information Services Division, Texas State Library and Archives Commission. Caution: This records series and item numbers 1.1.059, 1.1.060, 1.1.061 and 1.1.062 must be used for those state boards, committees, commissions, and councils which by law or the biennial Appropriations Act, are administered by another state agency. These records and all others related to the functions of any of these dependent entities must be included in the records retention schedule of the administering agency.	
113A	1.1.059	Closed Meetings, Certified Agendas or Tape Recordings	Certified agendas or tape recordings of closed meetings of state boards, commissions, committees, and councils.	PM						Archives Note: Agency policy to retain longer than TSLAC minimum.	



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114A	1.1.060	Open Meetings, Audio or Videotapes	Audio or videotapes of open meetings of state boards, commissions, committees, and councils.	AC	2			AC = Official approval of the written minutes of the meeting by the governing body of the agency.		Caution: Minutes of state agencies are permanent records. Audio and videotapes are not permanent media. State agencies may not retain audio or videotapes of the meetings of governing bodies in lieu of written minutes. The proceedings of all meetings of state boards, committees, commissions, and councils must be reduced to writing. SEE also caution comment at Item number 1.1.058.	
115A	1.1.061	Meeting - Notes	Notes taken during open meetings of state boards, commissions, committees, and councils from which written minutes are prepared.	AC			90	AC=Approval of the formal minutes by the governing body.		SEE caution comment at item number 1.1.058.	
116A	1.1.062	Meetings - Supporting Documentation	Documents submitted at meetings of state boards, commissions, committees, and councils including exhibit items, documentation for agenda items, etc. Includes documents sent in advance of meetings for briefing purposes, some of which may not be submitted at an actual meeting.	PM					A	Agency policy to retain longer than TSLAC minimum. A copy of the approved minutes and supporting documentations are sent to the State Archivist after the official approval of the written minutes by the governing body of an agency and the original is retained by TCOLE. SEE caution comment at item number 1.1.058.	



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					Years	Months	Days				
117A	1.1.063	Staff Meeting Notes	Minutes or notes, and supporting documentation taken at internal agency staff meetings.	AC	1			AC = Date of meeting.		General Staff meetings and Director/Manager meetings.	
118A	1.1.064	Agency Performance Measures Documentation	Any records of an agency needed for the documentation of output, outcome, efficiency, and explanatory measures in an agency's appropriations request or strategic plan, and for performance measures used to manage the agency.	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.	
136A	1.1.065	Reports and Studies (Non-Fiscal) Raw Data	Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV	10					Agency policy to retain longer than TSLAC minimum. Caution: Does not include source documentation used for information or data included in or directly related to another records series in this schedule. SEE especially item number 1.1.064.	
135A	1.1.065	Reports and Studies (Non-Fiscal) Raw Data Management Reports (Statistics).		AV							
119A	1.1.066	Reports-Biennial or Annual Agency (Narrative)	Biennial narrative reports to the governor and legislature as required by an agency's enabling statutes, including annual narrative reports if they are required by statute.	AC	6			AC = September 1 of odd-numbered calendar years.	A	ARCHIVES NOTE: The archival requirement is met by sending the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission.	



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502F	1.1.068	Reports- Reports on Performance Measures	Quarterly and annual reports on agency performances measures submitted to executive and legislative offices.	AC	6			AC=September 1 of odd-numbered calendar years.		Submitted to executive and legislative offices.	
120A	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: SEE item number 1.1.064.	
121A	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.	AC	3			AC = Completion or termination of program, rules, policies or procedures.	R	SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.	
122A	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			AC=Completion or termination of program, rules, policies or procedures.	R	SEE ALSO Records Series Item Number 1.1.070. Archival: R-Review required before disposal.	



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705L	1.1.072	Public Information Reports	Reports made to the Office of the Attorney General on an agency's Public Information Act activities.		2						
703L	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			AC=Last action pursuant to TX Occupations Code 1701.301 and 1701.505	R	Archival: R-Review required before disposal.	TX Occupations Code 1701.301 and 1701.505
137A	1.1.074	Sunset Review Report and Documentation		AC	3			AC= After subsequent Sunset Review.	R		
123A	1.2.001	Destruction Authorizations	Agency level documents authorizing final disposition of records under a certified records retention schedule.	FE	3						
205CR	1.2.003	Forms History File	Print masters of original version and all subsequent revisions to an agency form, including any associated design or design modification requests.	AC	3			AC=Discontinuance of use of form.		Agency policy to retain longer than TSLAC minimum for historic purposes.	
124A	1.2.005	Records Retention Schedule (SLR 105) Agency copy	Includes documentation of certification and approval - forms SLR 105C (formerly RMD 105C) and/or other forms designated by the State Records Administrator.	US						Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission.	



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125A	1.2.006	Records Transmittal Forms	Agency copy for forms indicate records transferred to storage or a transfer of legal custody.	AC	2			AC = Date of authorization for destruction, permanent transfer from storage, or transfer to the Archives and Information Services Division, Texas State Library and Archives Commission, by the agency records management officer.			
126A	1.2.008	Request for Authority to Dispose of State Records (RMD 102)	Agency copy.	FE	3					Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission.	
127A	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						
128A	1.2.011	Record Center Storage Approval Forms (RMD 106)	Agency copy.	US						Includes both paper and electronic.	
129A	1.2.012	Records Inventory Worksheets		US							
130A	1.2.014	Records Management Plans	Records management plans and similar records that establish the policies and procedures under which records and information are managed in an agency.	US	1						



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131A	1.3.001	State Publications	One copy of each state publication except a publication that is subject to a different retention period in this schedule.	AC	2			AC = Until superseded or obsolete.		CAUTION: Many state publications must be submitted to the Texas State Publications Depository Program, Texas State Library and Archives Commission, by law (Government Code 441.101-441.106). The Texas State Library and Archives Commission will retain a copy of all state publications submitted to it on a continuing basis, subject to periodic evaluation to determine if the publication merits further retention. For additional information and requirements concerning state publications made available to the public through the Internet, consult the administrative rules of the Texas State Publications Depository Program of the Texas State Library and Archives Commission (13 TAC 3.1-3.13).	Government Code 441.101- 441.106; 13 TAC 3.1-3.16
132A	1.3.002	Publication Development Files	Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV					R		



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801S	2.1.001	Processing Files	Machine-readable files used in the creation, utilization, and updating of master files.	AC				AC = Completion of 3rd verification cycle, or audit completion confirming successful transaction processing, or required audit trail maintenance, or the ability to restore or migrate when errors are detected or when hardware or software changes occur.		CAUTION: Records management officers must be certain before assigning the retention period of AC to agency automated processing files that the files do not fall under records series list elsewhere.	
802S	2.1.002	Master Files	Relatively long-lived computer files containing organized and consistent sets of complete and accurate electronic records. Examples include, but are not limited to, data tables of relational databases used by applications or computer programs.	AC				AC = Completion of 3rd verification cycle, or audit completion confirming successful transaction processing, or required audit trail maintenance, or the ability to restore or migrate when errors are detected or when hardware or software changes occur.		CAUTION: Records management officers must be certain before assigning the retention period of AC to agency automated processing files that the files do not fall under records series list elsewhere.	
803S	2.1.007	Software Programs	Automated software applications and operating system files including job control language, program listing/source code, etc.	AC				AC = Until electronic records are transferred to and made usable in a new software environment or there are no electronic records being retained to meet an approved retention period that require the software to be retrieved and read.		CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.	13 TAC 6.94.



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804S	2.1.008	Hardware Documentation	Records documenting operational and maintenance requirements of computer hardware such as operating manuals, hardware/ operating system requirements, hardware configurations, and equipment control systems.	AC				AC = Until electronic records are transferred to and made usable in a new hardware environment or there are no electronic records being retained to meet an approved retention period that require the hardware to be retrieved and read.		CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.	13 TAC 6.94.



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805S	2.1.009	Technical Documentation	Records adequate to specify all technical characteristics necessary for reading or processing of electronic records and their timely, authorized disposition including documentation describing how a system operates and necessary for using the system such as user guides, system or sub-system definitions, system specifications, input and output specifications, and system flow charts; program descriptions and documentation such as program flowcharts, program maintenance logs, change notices, and other records that document modifications to computer programs; and data documentation necessary to access, retrieve, manipulate, and interpret data in an automated system such as a data element dictionary, file layout, code book or table, and other records that explain the meaning, purpose, structure, logical relationships, and origin of the data elements.	AC				AC = Until electronic records are transferred to and made usable in a new hardware or software environment with new documentation or there are no electronic records being retained to meet an approved retention period that require the documentation to be retrieved and read.		CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.	13 TAC 6.94.



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806S	2.1.010	Audit Trail Records	Files needed for electronic data audits such as files or reports showing transactions accepted, rejected, suspended, and/or processed; history files/tapes; records of on-line updates to application files or security logs.	AC				AC=All audit requirements have been met.			
807S	2.1.011	Finding Aids, Indexes, and Tracking Systems	Automated indexes, lists, registers, and other finding aids used to provide access to records.	AC				AC=Related records have been destroyed.		CAUTION: These records must carry the same retention period and archival code of the records they support.	
808S	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							
809S	2.2.012	Output Records for Computer Production	Reports showing transactions that were accepted, rejected, suspended, and/or processed.	AV						Paper and electronic.	
810S	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				AC = No longer needed as an audit trail for any records modified.			



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811S	2.2.016	Software Registrations, Warranties and License Agreements		LA	3						
503F	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						29 CFR 1602.31 [State agencies].
504F	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			AC=Termination of employment.			
505F	3.1.011	Employee Insurance Records	Agency copies of information relating to the selection by employee of life, disability, health, and other types of Insurance offered by the State of Texas to its employee.	AC				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 3.2.001.	
506F	3.1.012	Employment Opportunity Announcements	Internal or external announcements or advertisements of job opening, promotions, training programs, or opportunities for overtime.		2						29 CFR 1602.31 [State Agencies].



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507F	3.1.014	Employment Selection Records	Includes notes of interviews with candidates, questions asked of applicants, audio and videotapes of job interviews, driving records, and previous injury checks, pre-employment physical examinations, pre-employment drug screening test results, polygraph examination results, and all other records that document the selections process.		2					Caution: Does not include criminal history checks. SEE item number 3.1.026.	29 CFR 1602.31 [State Agencies].
508F	3.1.018	Grievance Records	Records relating to the review of employee grievance against personnel policies, working conditions, etc.	AC	2			AC=Final decision on grievance.		Caution: Does not include formal complaints filed by an agency employee with the EEO the U.S. Department of Labor. SEE item number 1.1.048	
509F	3.1.019	Performance Appraisals			2						29 CFR 1620.32(c).



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510F	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 interest 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 or resignation. May also be used to document evidence of employee self-improvement efforts, as well as favorable and unfavorable communication.	AC	5			AC=Termination of employment.			
511F	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.		2						29 CFR 1602.31.
512F	3.1.023	Position/Job Descriptions	Job descriptions, including all associated task or skill statements, for positions in an agency.	AC	4			AC=Until superseded or job eliminated.			40 TAC 815.106(i).



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401E	3.1.026	Criminal History Checks - Enforcement files	Criminal history record information obtained from Department of Public Safety (DPS) on potential licensees or licensees involved in case.	AC				AC = The criminal history record has served the immediate purpose for which it was obtained.			Government Code 411, Subchapter F.
513F	3.1.026	Criminal History Checks	Criminal history record information on job applicants or agency employees obtained from the Department of Public Safety (DPS).	AC				AC= The criminal history record has served the immediate purpose for which it was obtained.		Caution: An agency that is authorized to obtain criminal history record information from DPS must refer to its agency's legislation or see Subchapter F, Chapter 411, Government Code for appropriate retention and use of this information.	Subchapter F, Chapter 411, Government Code
514F	3.1.029	Employment Eligibility, Documentation or Verification of	Federal Reporting Form (INS I-9)	AC	1			AC = Termination of employment.		CAUTION: Federal regulation requires that INS I-9 forms be retained for 3 years from date of hire or 1 year after separation of the employee, whichever 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).
515F	3.1.031	Employee Benefits- Other than Insurance	Agency copies of information relating to the selection of available benefit options other than insurance.	AC	6			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 3.2.001.	



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516F	3.1.037	Employee Recognition Record	Awards, incentives, tenure, etc.	AC	5			AC=Termination of employment.			
517F	3.1.038	Public Access Option Form	Form completed and signed by employee or official, or former employee or official, electing to keep home address, home telephone number, social security number, and family information open or confidential under the Public Information Act, Government Code 552.024.	US						See item number 3.3.011; AIN 528F.	Public Information Act, Government Code 552.024.
518F	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	4			AC=After termination of employee or after amendment, expiration, or termination of authorization, whichever sooner.			
519F	3.2.002	Employee Earnings Records			4						40 TAC 815.106(i).
520F	3.2.003	Federal Tax Records		AC	4			AC=Tax due date, date the claim is filed or date tax is paid whichever is later.			26 CFR 31.6001-1(e)(2).
521F	3.2.004	Income Adjustment Authorizations	Used to make increases or decreases to employees' gross pay, FICA, retirement, or in the computation of taxes.		2						29 CFR 516.6(c).
522F	3.2.005	W-4 Forms: Federal Tax Records	Employer's copy of "Employee's Withholding Exemption Certificate."	AC	4			AC=Tax due date, date the claim is filed, or date tax is paid whichever is later.		Confidential and Vital Record.	26 CFR 31.6001-1(e)(2).
523F	3.2.007	Unemployment Compensation Records		AC	5			AC=Final decision			



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524F	3.2.008	Direct Deposit Applications/Authorizations		US							
525F	3.2.009	State Deferred Compensation Records		AC	5			AC=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.	
526F	3.3.001	Affirmative Action Plans	Affirmative action plans for both regular employees and apprenticeship programs.		5						29 CFR 30.8(e) for apprenticeship plans.
527F	3.3.004	Benefits Plans	Employee benefit plans such as pension; life, health, and disability insurance; deferred compensation; etc., including amendments.	US	1						29 CFR 1627.3(b)(2)
528F	3.3.011	Former Employee Verification Records	Minimum information needed to verify employment, includes name, social security number, exact dates of employment, last known address and most recent public access option form.	AC	75			AC=Termination of employment.		See item number 3.1.038; AIN 517F.	
529F	3.3.015	Position/Job Classification Review Files		US	3						



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530F	3.3.023	Reimbursable Activities, Requests and Authorizations to Engage In	Requests and authorizations for travel; participation in educational programs, workshops, or college classes; or for other work-related activities for which the expenses of the employee are defrayed or reimbursed.	FE	3						
577F	3.3.024	Personnel Policies and Procedures	Any internally distributed manuals, guidelines, or similar records that define agency wide policies and procedures concerning the personnel of an agency.	US	3					General Manual.	
531F	3.3.025	Job Procedure Records	Any documents detailing the procedural duties and responsibilities of agency positions on a position-by-position basis.	US	3						
532F	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						
533F	3.3.027	Aptitude and Skills Tests	Aptitude or skills tests required of job applicants or of current personnel to qualify for promotion or transfer.	US	2					Caution: One copy of each different test (different in terms of either questions or administration procedures) should be retained for the period indicated.	29 CFR 1602.31 [State Agencies].



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					Years	Months	Days				
534F	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					Employee training records. CAUTION: Does not include hazardous material training records.	
535F	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.
536F	3.4.002	Leave Status Report	Cumulative report is issued each pay cycle and provides employee leave status information for each position.	FE	3						
537F	3.4.006	Time Sheets	Includes Grant Funded employee timesheets, semi-annual certification form, personnel activity reports, and any other supporting documentation needed to show the authorization of hours worked by staff that are paid solely or partially by grant funds, or personnel being used to match. Also includes leave request that are required by policy to be submitted to the Human Resources (HR) office and all Family and Medical Leave (FMLA) documentation.	AC	4			AC = The date of submission of the last expenditure report for the final year of each 5 year plan.		Confidential Record	Title 40, Part 20, TAC 815.106(i).



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538F	3.4.007	Time Off and Sick Leave Requests	Leave request forms or correspondence documenting division level approval for staff to take sick leave, vacation, comp time, holiday comp, or overtime.	FE	3					Caution: This record series is for those leave requests that only require division level approval and are not forwarded to Human Resources (HR).	
539F	3.4.008	Sick Leave Documentation	Requests submitted, approvals, number of hours transferred in and out, etc.	FE	3						
540F	4.1.001	Accounts Payable Information		FE	3						
541F	4.1.002	Billing Detail		FE	3					CAUTION: Does not include long distance telephone billing detail.	
542F	4.1.003	Cancelled Checks, Stubs, Warrants and Drafts		FE	3						
543F	4.1.004	Encumbrance Detail		FE	3						
544F	4.1.005	Inventory and Other Cost Files	Production, job, labor, quotes, pricing, specifications, etc.	FE	3						
545F	4.1.007	Transfers or Budget Revisions	Transfers or adjustment to budgets.	FE	3						
546F	4.2.001	Cash Deposit Vouchers	Cash deposit slips.	FE	3						
595F	4.2.002	Cash Receipts	Includes receipts for fee (permits, license, renewals, etc.).	FE	3						
547F	4.2.004	Encumbrance Vouchers	Orders, statements, change orders, etc.	FE	3						
548F	4.2.005	Purchase Vouchers	Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE	3						



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549F	4.2.006	Journal Vouchers		FE	3						
550F	4.2.007	Expenditure Vouchers	Travel, payroll, etc.	FE	3						
551F	4.3.003	Expenditures Journal		FE	3						
552F	4.4.001	General Ledgers		FE	3						
553F	4.4.002	Accounts Receivable Ledgers		FE	3						
554F	4.4.003	Accounts Payable Ledgers		FE	3						
555F	4.5.001	Worksheets for Preparing Fiscal Reports		FE	5						
556F	4.5.002	Internal Fiscal Management Reports	Includes agency monthly budget reports.	FE	5						
557F	4.5.003	Annual Financial Report	Required by the General Appropriations Act (100 Day Report).	AC	6			AC= September 1 of odd-numbered calendar years.		CAUTION: If an agency does not produce a biennial or annual narrative report as described in item number 1.1.066, then these annual financial reports must be marked with Archival Code A. The archival requirement, when a biennial or annual narrative report is not produced, is met by sending the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission.	
558F	4.5.006	Annual Operating Budgets	Required by the General Appropriations Act.	FE	3						
559F	4.6.002	Reconciliations		FE	3						



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560F	4.7.001	Accounting Policies and Procedures Manual		US	3						
561F	4.7.002	Bank Statements		FE	3						
562F	4.7.003	Returned Checks, Warrants, Drafts		AC	3			AC= After deemed uncollectable.			
563F	4.7.004	Capital Asset Records		LA	3						
564F	4.7.005	Claim Files		AC	3			AC=Resolution of claim.			
565F	4.7.007	Detail Chart of Accounts	One for all accounts in use for a fiscal year.	FE	3						
566F	4.7.008	Federal Grant Records	This series documents state and federal grant projects participated in or administered by state agencies. It includes grant authorization records, which provide evidence of the award of grants to or by agencies; grant/ project financial or performance reports, which are periodic reports of financial activity and/ or program performance related to grants received or made by agencies.	AC	3			AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (the Common Rule).		CAUTION: Retention requirements may vary depending on the specific federal funding agency. Agencies must ensure that records are retained for the appropriate retention period.	
567F	4.7.009	Fixed Asset Sequential Number Log		US	3						
568F	5.1.001	Contracts and Leases	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, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence.	AC	7			AC=Terms of contract are expired or terminated.			Government Code, 441.1855



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					Years	Months	Days				
812S	5.1.004	Mail and Telecommunications Listings on Employees	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							
569F	5.1.005	Postage Expense Records	Records and reports of postage expenses, including postal meter usage.	FE	3					Includes both paper and electronic records.	
570F	5.1.012	Charge Schedules/Price Lists	Schedules of prices charged by an agency for services to the public or other agencies, including any documentation used to determine the charges.	US	3						
603G	5.1.015	Correspondence Tracking Records	Any record created by an agency to track any type of incoming and outgoing correspondence or packages by the U.S. Postal Service or by private couriers.		1					Certified mail log.	
598F	5.2.003	Building Plans & Specifications - State Owned	Includes architectural and engineering drawings, profiles, and blueprints.	LA					R	LA = Life of asset. The record is retained until the disposal of the asset. ARCHIVES NOTES: Archival review designation is for state-owned buildings only.	
597F	5.2.003	Building Plans & Specifications - Leased	Includes architectural and engineering drawings, profiles, and blueprints.	AC	2			AC = termination or cancellation of lease.			
571F	5.2.004	Building Space Requests			1						



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572F	5.2.008	Equipment History Files	Includes requests for installation, moves, service, etc.; and service/repair logbooks, etc.	LA	3					Caution: For service agreements or contracts related to equipment repairs and service, retain in accordance with item number 5.1.001.	
573F	5.2.009	Equipment Inventory Detail Report Forms	Updates agency portion of the inventory listing and adds, changes, transfers, or deletes items from inventory.	FE	3						
574F	5.2.011	Equipment Warranties		AC	1			AC=Expiration of warranty.			
575F	5.2.012	Estimate Files	(Supply and Repair Cost Estimates)		1						
578F	5.2.014	Inventory, Annual Physical	Property, equipment, supplies verification.	FE	3						
579F	5.2.015	Notice of Equipment Removed from Inventory		FE	3						
580F	5.2.016	Inventory System Update Listings	Listing shows all additions, changes, deletions, and transfer times for the monthly processing period.	AC				AC=Transfer of information into annual listings.			
581F	5.2.017	Lost and Stolen Property Reports		FE	3						
813S	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						
582F	5.2.021	Surplus Property Sale Reports		FE	3						
583F	5.2.022	Utility Usage Reports		AV							



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584F	5.2.023	Year-to-Date Activity - (Inventory Listing)	Shows additions, changes, transfers, and deletions of information within the inventory system. Data include agency, division, tag number, batch, document, transaction date, location, item code, description, date, and cost.	FE	3						
586F	5.2.025	Equipment Description and Specification		AC	2			AC=Equipment is no longer in the agency.			
604G	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						
587F	5.2.027	Space Utilization Reports		AV							
589F	5.3.002	Freight Bills Paid		FE	3						
590F	5.3.004	Order - Acknowledgements		AV							
591F	5.3.005	Packing Slips		AV							
592F	5.3.007	Bid Documentation	Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, accepted and rejected bids, and bid tabulation/evaluations.	AC	7			AC = Expiration or termination of the instrument according to its terms or decision not to proceed with the bid. Date of notification of denial or date of		CAUTION: If a formal written contract is the result of a successful bid or request for proposal, the successful bid or request for proposal and its supporting	Government Code, §441.1855
593F	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.	29 CFR 1904.33.



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598F	5.4.002	Evacuation Plans	Plans for evacuation of agency facilities in cases of emergency.	US							
606G	5.4.011	Visitor Control Registers	Logs, registers, or similar records documenting visitors to limited access or restricted areas of agency facilities.		3						
594F	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 facilities, equipment or automated systems.	AC	2			AC=Until superseded, date of expiration, or date of termination, whichever is sooner.			
576F	5.4.013	Disaster Preparedness and Recovery Plan		US							
138A	1.1.040	Texas Peace Officer Memorial records	Records related to the Texas Peace Office Memorial.	PM					R	Texas Peace Officers' Memorial records; flag requested for deceased officers' records; Achievement Awards records. PM=Agency policy to retain longer that Texas State Library and Archives Commission (TSLAC) minimum.	Pursuant to TX Occupation Codes 1701.161 and 1701.401.



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599F	1.1.067	Reports and Studies (non fiscal)	Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel , by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.		3				R	Archives Note: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, A,R, or E.	
600F	3.4.004	Overtime Authorizations			2						
601F	4.7.011	Texas Facilities Commission (TFC) statements	Charges or bill statements received by agencies from the TFC services provided.	FE	3						
602F	5.5.001	Telecommunications Billing Detail (other than Tex-AN)	In addition to summary detail, includes any accompanying detailed listing of long distance calls.	FE	3					See item number 5.5.006 for TEX-AN billing detail.	