

November 19, 2020



Sheila Anderson
Records Management Officer
Texas Department of Licensing & Regulation
920 Colorado St.
7th Floor, E. O. Thompson Building
Austin, TX 78711

Dear Ms. Anderson,

Your agency's records retention schedule is approved for use as of **10/30/2020**, 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 Please ensure that all old copies of the schedule are superseded with this certified copy.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 **October 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:

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 "C Kelso".

Craig Kelso
Director and State Records Administrator

cc: Agency head

Lorenzo de Zavala
State Archives and
Library Building

1201 Brazos Street
Austin, Texas
78701

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

www.tsl.texas.gov

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Assistant State Librarian
Gloria Meraz

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 452
 Agency Name Texas Department of Licensing & Regulation

(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 *Sheila Anderson*
 Name *(Print or type)* Sheila Anderson
 Date 07/24/2019

Section 2. Approvals

(Submitting agencies do not write in this section)

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

Signature _____
 Name *(Print or type)* _____
 Date _____

Not Required at This Time

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

Signature *Gloria Mera*
 Name *(Print or type)* Gloria Mera
 Date 10/30/2020

Cert/Recert No. 9 Amendment No. _____

CAUTION

A state record with an expired retention period 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 with a retention period that 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.

Amendment Note: If this schedule is amended at any point after certification, updated records series will be indicated by an asterisk (*) preceding the Agency Item Number (AIN).

State and Local Records Management Division
Texas State Library and Archives Commission
(Rev. 7/20)





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: 452		2. Agency Name: Texas Department of Licensing & Regulation									
3. Agency Item Series	4. Record Series	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				
101	1.1.002	Audits	Audits and reviews performed by or on behalf of TDLR, including the working papers that support the audit. Also includes audits performed on the agency. Includes External and Internal.	AC	7			AC = Publication or release of final audit findings.		Record Copy: Executive Office The State Auditor's Office retains any copies of its audits performed on Texas state agencies.	
102	1.1.004	Legislative Appropriation Requests	Including any supporting documentation created and/or used to justify and support legislative appropriations requests by an agency.	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 requests to the Texas State Publications Depository Program, Texas State Library and Archives Commission. Only copies of supporting documentation submitted to the Legislative Budget Board are archival.	
103	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= Date of receipt, action taken, or final disposition of the complaint, whichever comes last.		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.	



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					Years	Months	Days				
104	1.1.007	Correspondence - Administrative	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.		4				R	ARCHIVES NOTE: Only the administrative correspondence of 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: 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.	



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105	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					SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.	
106	1.1.010	Directives	Any document that officially initiates, rescinds, or amends general office procedures.	US	1						
107	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		



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108	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					ARCHIVES NOTE: 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.	



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					Years	Months	Days				
109	1.1.014	Legal Opinions and Advice	From agency legal counsel or the Attorney General, including any requests eliciting the opinions.	AV					R	Record Copy: General Counsel 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.	
110	1.1.014	Bankruptcy	Files of bankruptcies where a proof of claim has been filed or notices received from the bankruptcy courts.	AC	1			AC = After the year in which bankruptcy is closed.		Record Copy: General Counsel	
111	1.1.014	Expungement	Court order to expunge records from arrests for offenses committed.	AC	1			AC = Date of issuance of order		Record Copy: General Counsel An Expunction Spreadsheet is maintained. All relevant records/files are obliterated in accordance with the court order.	Code of Criminal Procedure, Article 55.02 Section 5(d)
112	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	Record Copy: Office of Strategic Communication	



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					Years	Months	Days				
113	1.1.020	Public Information Requests - Not Exempted	Includes all correspondence and documentation relating to requests for records that are furnished to the public under Public Information Act (Chapter 552, Government Code).	AC	1			AC = Date request fulfilled.		Record Copy: General Counsel	
114	1.1.021	Public Information Requests - Exempted	Includes all correspondence and documentation relating to requests for records that are exempt under the Public Information Act (Chapter 552, Government Code).	AC	2			AC = Date of notification that records are exempt.		Record Copy: General Counsel	
115	1.1.023	Organization Charts	Charts or diagrams that show the structure of an agency and the relationships and relative ranks of its departments and job positions.	US					A	Record Copy: LRNet. ARCHIVES NOTE: Only charts showing the overall arrangement and administrative structure of the state agency need to be transferred to the Archives and Information Services Division, Texas State Library and Archives Commission. Organizational charts showing division/department level detail are not considered archival.	



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					Years	Months	Days				
116	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			AC = Decision made to implement or not to implement result of planning process.	R	ARCHIVES NOTE: Data processing planning records are not archival.	
117	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.	AC	3			AC = Date of publication in the Texas Register.		Record Copy: General Counsel	
118	1.1.027	Proposed Legislation	Drafts of proposed legislation and related correspondence.	AV						Record Copy: Executive Office	
119	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.	AC				AC = Summary report compiled.		SEE item number 1.1.067 for summary reports compiled from customer surveys.	
120	1.1.040	Speeches, Papers and Presentations	Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	2			AC = End of term in office or termination of service in a state position.	R	ARCHIVES NOTE: Only speeches, papers, and presentations given by or on behalf of executive staff, board or commission members, division directors and program heads require archival review.	



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121	1.1.041	Suggestion System Records	Suggestions submitted by agency personnel and responses.		1						
122	1.1.043	Training Materials	Instructional materials developed by an agency for training entities or individuals it regulates or serves.	AC	1			AC = Close of training session, after training materials superseded, or termination of training program, as applicable.		See RSIN 3.3.030 for internal personnel training materials. CAUTION: Does not include hazardous material training records. See RSIN 5.4.007.	
123	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			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	Record Copy: General Counsel. ARCHIVES NOTE: Cases that set legal precedent or exhibit historical value will be evaluated by the Archives and Information Services Division of the Texas State Library and Archives Commission for archival preservation.	
124	1.1	Information Gathered and Not Used	Information gathered in response to outside litigation capable of reproduction on request.	AV							



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					Years	Months	Days				
125	1.1.053	Registration Logs	Logs or similar records used to register persons appearing before state agencies as required by Chapter 2004, Government Code, including quarterly reports filed with the Texas Ethics Commission.	AC				AC = Report filed with the Texas Ethics Commission.			
126	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	ARCHIVES NOTE: The archival requirement is met by sending the required copies of the plans to the Texas State Publications Depository Program, Texas State Library and Archives Commission.	
127	1.1.056	ADA (Americans with Disabilities Act) Documentation	Self evaluations and plans documenting compliance with the requirements of the Americans With Disabilities Act.	AC	3			AC = Termination of employee.		Record Copy: Human Resources	28 CFR 35.105(c).



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					Years	Months	Days				
128	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; 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: Records Management Officers should use caution in assigning this records series item number to records of an agency to 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 through destruction signoffs (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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					Years	Months	Days				
129	1.1.058	Meeting Agenda and Minutes of Open	Official agenda and minutes of state boards, committees, commissions, and councils that conduct open meetings as required by Government Code, Chapter 551.	PM					A	Record Copy: Executive Office/Office of Strategic Communication 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.	



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					Years	Months	Days				
130	1.1.059	Meetings, Agendas and Minutes or Audiovisual Recordings of Closed	Certified agendas or tape recordings of closed meetings of state boards, commissions, committees, and councils.	AC	2			AC = The date of the meeting or completion of pending action involving the meeting, whichever is later.		SEE caution comment at item number 1.1.058.	Government Code, 551.104(a).
131	1.1.060	Meetings, Audio or Videotapes of Open	Audio or videotapes of open meetings of state boards, commissions, committees, and councils.	AC			90	AC = Official approval of written minutes of the meeting by the governing body of an agency.		Record Copy: Executive Office/Office of Strategic Communication 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 caution comment at item number 1.1.058.	



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					Years	Months	Days				
132	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.		Record Copy: Executive Office/Office of Strategic Communication SEE caution comment at item number 1.1.058.	
133	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.		2				A	Record Copy: Executive Office/Office of Strategic Communication SEE caution comment at item number 1.1.058.	
134	1.1	Advisory Board Application	Applications received from public seeking to acquire a seat on an Advisory Board	AC	2			AC = Application last modified date.			
135	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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136	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.	
137	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						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.	
138	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	Record Copy: Financial Services 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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					Years	Months	Days				
139	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.	FE	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. SEE page ix for more information.	
140	1.1.068	Reports on Performance Measures	Quarterly and annual reports on agency performance measures submitted to executive and legislative offices.	AC	6			AC = September 1 of odd-numbered calendar years.		Record Copy: Executive Office	
141	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.	FE	1					CAUTION: SEE item number 1.1.064.	



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					Years	Months	Days				
142	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, 1.1.071.	
143	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.	
144	1.1.072	Public Information Reports	Reports made to Office of Attorney General on an agency's Public Information Act activities.		2						



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145	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.	R		
146	1.1.074	Sunset Review Report and Documentation		AC	3			AC = After the subsequent Sunset Review.	R		
147	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			AC = Date of final agreement.			Texas Civil Practice and Remedies Code , Chapter 154.071.
148	1.1	Source Documents to License/Register	Source documents for Original License Request	FE	5					Record Copy: Licensing	
149	1.1	License Renewals		FE	3					Record Copy: Licensing	
150	1.1	Criminal History Search Results for License Renewals		US						Kept until Data is Refreshed from Department of Public Safety (DPS). Information used for In-House Renewal Site.	



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151	1.1	Criminal History	Department of Public Safety (DPS) and Federal Bureau of Investigation (FBI) Search Results for Licenses (Original and Renewal)	FE	2						
152	1.1	Financial Security / Insurance Documents		AC	3			AC = Current license/registration expired			
153	1.1	Continuing Education Course Material		AV						Record Copy: Education and Examination	
154	1.1	Pre-licensure Education Courses		FE	1					Record Copy: Education and Examination	
155	1.1	Examination Records		FE	2					Record Copy: Education and Examination	
156	1.1	School Licensing Course Provider		FE	3					Record Copy: Education and Examination	
157	1.1	Continuing Education Course Application	Approved Original Application	AC	1			AC = Approval Date.		Record Copy: Education and Examination	
158	1.1	Inspection Source Documents		FE	3						
159	1.1	Combative Sports Pre-Event		AC	7			AC = Expiration or termination of the contract according to its terms.		Record Copy: Regulatory Program Management	
160	1.1	Combative Sports Post-Event			50			Contestant Medical Suspension Information valued the life of the contestant.		Record Copy: Regulatory Program Management	



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161	1.1	Industrial Housing Building Inspections		FE	5					Record Copy: Regulatory Program Management	
162	1.1	Industrialized Housing Building Source Documents		FE	5					Record Copy: Regulatory Program Management and Document Imaging System This includes all documents for this Statute except Original and Renewal paperwork.	
163	1.1	Industrialized Housing and Building Plans	Proprietary building plans and quality control manuals submitted by Manufacturers for Department review.	AC			30	AC = Adoption of new building codes.		Record Copy: Regulatory Program Management	
164	1.1	Architectural Barrier Review and Inspection Source Documents		AC	1			AC = Review completed.		Record Copy: Regulatory Program Management Documents include Registration forms, Owner Agent forms, Correspondence and Variances/Appeals.	
165	1.1	Architectural Barriers Registered Accessibility Specialist Audits		AC	3			AC = After completion of audit performed by AB staff.		Record Copy: Regulatory Program Management	
166	1.1	Architectural Barriers - State Lease Reviews		AC	25			AC = Lease termination.		Record Copy: Regulatory Program Management	



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167	1.1	Boiler, Elevator and Water Well Inspector Reports		LA	2					Record Copy: Regulatory Program Management and Document Imaging System Includes P/E, Paper documents are destroyed after conversion to the TDLR document imaging system.	
168	1.1	Boiler/Elevator/Water Well Accident Investigation Report	Accident Investigation Report and all attached report exhibits.	LA	2					Record Copy: Regulatory Program Management	
169	1.1	Incident Reports	Incident Report and all attached report exhibits.	LA	2					Record Copy: Regulatory Program Management	
170	1.1	Drug Testing (Positive)	Includes Positive Drug Testing Results.	AV						Pertains to Tow Truck/Vehicle Storage Facility Programs within Regulatory Program Management.	
171	1.1	Texas Weather Modification Permits		FE	3					Record Copy: Office of Innovation & Project Management	
172	1.1	Texas Weather Modification Exemption Status		FE	3					Record Copy: Office of Innovation & Project Management	



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					Years	Months	Days				
173	1.1	Customer Service Calls					60	Calls are automatically dropped daily after 60 days; therefore, Disposition Logs are not completed.			
174	1.1	Complaint Source Documents	Complaints filed against regulated licensees or registrants, as well as, complaints against unregistered or unlicensed practioners or regulated entities and any related evidence pertaining to a case.	AC	5			AC = Complaint closed.		Record Copy: Enforcement	
175	1.1	Complaint Records Contacts	Potential complaints never opened for further action.	FE	1					Record Copy: Enforcement	
176	1.1	Disciplinary Actions Related to Regulatory Complaints		AC + FE	20			AC = Date document signed.		Record Copy: Enforcement	
177	1.1	Hearings Files and Default Orders		FE	3						
178	1.2.001	Destruction Authorizations	Agency level documents authorizing final disposition of records under a certified records retention schedule.	FE	3					Record Copy: Records Management Officer	
179	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	2			AC = Discontinuance of use of form.			



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					Years	Months	Days				
180	1.2.004	Forms Inventory	Any periodic listing of all forms used internally or externally by an agency.	US							
181	1.2.005	Records Retention Schedule (SLR 105)	Agency copy. Formerly RMD 105. Includes documentation of certification and approval - forms SLR 105C (formerly RMD 105C), and/or other forms designated by the State Records Administrator.	US						Record Copy: Records Management Officer Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission.	
182	1.2.006	Records Transmittal Forms	Agency copy (includes RMD 101, Tx-R-5, 306-58-1, and Agency Storage Forms). 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.		Record Copy: Records Management Officer	



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					Years	Months	Days				
183	1.2.008	Request for Authority to Dispose of State Records (RMD 102)	Agency copy.	FE	3					Record Copy: Records Management Officer Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission. Note: This form must be used to obtain approval to destroy all official state records not listed on the agency's approved Records Retention Schedule.	Government Code §441.035(d)
184	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.	FE	10					Record Copy: Records Management Officer	
185	1.2.012	Records Inventory Worksheets		US							
186	1.2.013	Records Control Locator Aids	Includes indexes, card files, shelf lists, registers, guides, etc.	AC				AC = When control aid is updated, revised, or no longer needed.		CAUTION: These records must carry the same retention period and archival code of the records they support.	



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187	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					Record Copy: Records Management Officer	
188	1.2.015	Disaster Recovery Service Transmittals (RMD 109)	Also includes documentation for disaster recovery services provided by other entities.	FE	1					Record Copy: Records Management Officer	
189	1.2.016	Disaster Recovery Service Approval Form (RMD 113)	Agency copy of form.	AC				AC = Until superseded or termination of service.		Record Copy: Records Management Officer	



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					Years	Months	Days				
190	1.3.001	State Publications	One copy of each state publication as defined on page xi of the introduction of this schedule, except a publication that is subject to a different retention period in this schedule. For example, a meeting agenda (see item number 1.1.058) also meets the definition, but it must be retained permanently; item numbers 1.1.004, 1.1.055, 1.1.066, 1.1.068, and 4.5.003, which also meet the definition, are closely associated with the appropriations process and must be retained AC + 6.	AC	2			AC = Until superseded or obsolete.		Record Copy: Executive Office 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 §§3.1-3.16



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191	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		
192	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 listed elsewhere.			



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193	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 updates, 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 listed elsewhere.	
194	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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195	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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196	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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					Years	Months	Days				
197	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 online updates to application files or security logs.	AC				AC = All audit requirements have been met.			
198	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 = The related records have been destroyed.		CAUTION: These records must carry the same retention period and archival code of the records they support.	
199	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							
200	2.2.002	Chargeback Records to Data Processing Services Users	Records used to document, calculate costs, and bill program units for computer usage and data processing services. These records are also used for cost recovery, budgeting, or administrative purposes.	FE	3						
201	2.2.004	Computer 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					



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202	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					CAUTION: Does not include technical documentation of procedures necessary for reading or processing of electronic records. SEE item number 2.1.009.	
203	2.2.011	Batch Data Entry Control Records	Forms and logs used to reconcile batches submitted for processing against batches received and processed.	AC				AC = When reconciliation confirmed.			
204	2.2.012	Output Records for Computer Production	Reports showing transactions that were accepted, rejected, suspended, and/or processed.	AV							



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205	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.			
206	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						The disposal of Internet cookies need not be documented through 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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					Years	Months	Days				
207	2.2.015	History Files - Web Sites	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 a user's progress.	AV							
208	2.2.016	Software Registrations, Warranties and License Agreements		LA	3						
209	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					Record Copy: Human Resources	29 CFR 1602.31 [State Agencies].
210	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.		Record Copy: Human Resources	



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211	3.1.006	Employee Counseling Records	Notes, memoranda, or reports relating to the counseling of an employee for work-related, personal, or substance abuse problems. Usually maintained at the supervisory level except in those agencies with counseling staff.	AC	3			AC = Termination of counseling.			
212	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				AC = Until superseded or termination of employment.		Record Copy: Human Resources CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item number 3.2.001.	
213	3.1.012	Employment Opportunity Announcements	Internal or external announcements or advertisements of job openings, promotions, or training programs.		2					Record Copy: Human Resources	29 CFR 1602.31 [State Agencies].
214	3.1.013	Employment Contracts	a) Executed, renewed, or amended on or after September 1, 2015	AC	7			AC = Expiration or termination of the contract according to its terms.		Record Copy: Financial Services	Government Code 441.1855
215	3.1.013	Employment Contracts	b) Executed, renewed on or before August 31, 2015	AC	4			AC = Expiration or termination of the contract according to its terms.		Record Copy: Financial Services	Government Code 441.1855



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216	3.1.014	Employment Selection Records	Includes notes of interviews with candidates, questions asked of applicants, audio and videotapes of job interviews, driving record and previous injury checks, pre-employment physical examinations, pre-employment drug screening test results, polygraph examination results; and all other records that document the selection process.		2					Record Copy: Human Resources CAUTION: Does not include criminal history checks. SEE item number 3.1.026.	29 CFR 1602.31 [State Agencies].
217	3.1.018	Grievance Records	Records relating to the review of employee grievances against personnel policies, working conditions, etc.	AC	2			AC = Final decision on the grievance.		Record Copy: Human Resources 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 1.1.048.	
218	3.1.019	Performance Appraisals		AC	5			AC = Separation of employee from the Agency.		Record Copy: Human Resources	29 CFR 1620.32(c).



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219	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			AC = Termination of corrective action.		Record Copy: Human Resources CAUTION: If, during the retention period of this records series, any part of this series is used to document and support personnel disciplinary action under item number 3.1.021, all documentation from this series used to support disciplinary action must be retained for the minimum retention period described by item number 3.1.021.	



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220	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			AC = Termination of employment.		Record Copy: Human Resources	
221	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			AC = Separation of employee from the Agency.		Record Copy: Human Resources	29 CFR 1602.31 [State Agencies].



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222	3.1.023	Position/Job Descriptions	Job descriptions, including all associated task or skill statements, for positions in an agency.	AC	5			AC = Termination of employment.		Record Copy: Human Resources	40 TAC 815.106(i).
223	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 a 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.	
224	3.1	Driver History Check			2						
225	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			AC = Termination of employment.		Record Copy: Human Resources	
226	3.1	Medical Records Training		AC	6			AC = Until the sixth anniversary of the date the statement is signed.		Record Copy: Human Resources	Health & Safety Code 181.101(d)



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227	3.1.029	Employment Eligibility, Documentation or Verification of Federal reporting form (INS I-9).		AC	1			AC = Termination of employment.		Record Copy: Human Resources 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 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).
228	3.1.031	Employee Benefits - Other than Insurance	Agency copies of information relating to the selection of available benefit options other than insurance.	AC	2			AC = Until superseded or termination of employment.		Record Copy: Human Resources CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item number 3.2.001.	
229	3.1.034	Resumes - Unsolicited	Retention period applies if an agency replies to the sender of a resume that it will be kept on file should future job openings occur.	AV						SEE item number 3.1.014 for resumes, whether solicited or unsolicited, that are used in any way in the employment selection process.	



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230	3.1.035	Performance Bonds	Bonds posted by employees and individuals or entities under contract with an agency for the performance of the duties of a position or the terms of a contract with the agency. a) Executed, renewed, or amended on or after September 1, 2015.	AC	7			AC = Expiration or termination of the bond according to its terms.		CAUTION: Does not include construction or architectural surety bonds. SEE item number 5.2.028. SEE related item 5.1.001 Contracts and Leases.	Government Code 441.1855.
231	3.1.035	Performance Bonds	Bonds posted by employees and individuals or entities under contract with an agency for the performance of the duties of a position or the terms of a contract with the agency. b) Executed, renewed, or amended on or before August 31, 2015.	AC	4			AC = Expiration or termination of the bond according to its terms.			Government Code 441.1855.
232	3.1.037	Employee Recognition Records	Awards, incentives, tenure, etc.	AC	5			AC = Termination of employment.		Record Copy: Human Resources	
233	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.	



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234		Internship	Includes application, training records, supporting documentation, internship description, etc.	AC	5			AC = End date of internship.		Record Copy: Human Resources	
235	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.		Record Copy: Human Resources	
236	3.2.002	Employee Earnings Records			4						40 TAC 815.106(i).
237	3.2.003	Federal Tax Records	Includes 1099, W2, FICA , and other tax records.	AC	4			AC = Tax due date, date the claim is filed, or date tax is paid whichever is later.		Record Copy: Human Resources.	26 CFR 31.6001 - 1(e)(2).
238	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					Record Copy: Human Resources	29 CFR 516.6(c).
239	3.2.005	W-4 Forms	Employer's copy of "Employees' Withholding Exemption Certificate."	AC	4			AC = Until superseded, obsolete, or upon separation of employee.		Record Copy: Human Resources	26 CFR 31.6001-1 (e)(2).
240	3.2.006	Wage Rate Tables			2					Record Copy: Human Resources	29 CFR 516.6(a)(2).
241	3.2.007	Unemployment Compensation Records		AC	5			AC = Date claim is filed.		Record Copy: Human Resources	



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242	3.2.008	Direct Deposit Application/Authorizations		US						Record Copy: Human Resources	
243	3.2.009	State Deferred Compensation Records		AC	5			AC = All accounts with a vendor or vendors for the individual participant have been closed.		Record Copy: Human Resources 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.	
244	3.2.010	Human Resources Information System (HRIS)	Reports Includes supporting documentation.	AC	4			AC = Termination of employment.		Record Copy: Human Resources	
245	3.3.001	Affirmative Action Plans	Affirmative action plans for both regular employees and apprenticeship programs.		5					Record Copy: Human Resources	29 CFR 30.8(e) for apprenticeship plans.
246	3.3.010	Labor Statistics Reports	Reports providing statistical information on labor force.		3						



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247	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.		Record Copy: Human Resources	
248	3.3.015	Positions/Job Classification Review File	Records relating to review and monitoring of job classifications within an agency.	US	3					Record Copy: Human Resources	
249	3.3.020	Work Schedules/Assignments	Work, duty, shift, crew, or case schedules, rosters, or assignments.		1						
250	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						
251	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						



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252	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						
253	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. Includes FTE Report.	US	3						
254	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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255	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					CAUTION: Does not include hazardous material training records. SEE item number 5.4.007.	
256	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.
257	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.
258	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 August 31, to correct errors on leave accumulation, and to close out leave accounts on separated employees.	FE	3						



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259	3.4.002	Leave Status Reports	Cumulative report is issued each pay cycle and provides employee leave status information for each position.	FE	3					Record Copy: Human Resources	
260	3.4.004	Overtime Authorizations			2						
261	3.4.006	Time Cards and Time Sheets			4					Record Copy: Human Resources	40 TAC 815.106(i).
262	3.4.007	Time Off and/or Sick Leave Requests	Includes FMLA records.	FE	3						
263	3.4.008	Sick Leave Pool Documentation	Requests submitted, approvals, number of hours transferred in and out, etc.	FE	3					Record Copy: Human Resources	
264	4.1.001	Accounts Payable Information		FE	3					Record Copy: Financial Services	
265	4.1.002	Billing Detail		FE	3					Record Copy: Financial Services CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.	
266	4.1.003	Canceled Checks/Stubs/Warrants/Drafts		FE	3					Record Copy: Financial Services	
267	4.1.004	Encumbrance Detail		FE	3					Record Copy: Financial Services	
268	4.1.005	Inventory and Other Cost Files	Production, job, labor, quotes, pricing, specifications, etc.	FE	3					Record Copy: Financial Services	



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269	4.1.007	Transfers or Budget Revisions	Transfers or adjustment to budgets.	FE	3					Record Copy: Financial Services	
270	4.1.008	Electronic Fund Transfers	Direct Deposit Registers.	FE	3					Record Copy: Financial Services	
271	4.2.001	Cash Deposit Vouchers	Cash deposit slips.	FE	3					Record Copy: Financial Services	
272	4.2.002	Cash Receipts	Includes receipts for fees (permits, licenses, renewals, etc.).	FE	3					Record Copy: Financial Services	
273	4.2.003	Daily Cash Receipts Logs		FE	3					Record Copy: Financial Services	
274	4.2.004	Encumbrance Vouchers	Orders, statements, change orders, etc.	FE	3					Record Copy: Financial Services	
275	4.2.005	Purchase Vouchers	Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE	3					Record Copy: Financial Services	
276	4.2.006	General Journal Vouchers		FE	3					Record Copy: Financial Services	
277	4.2.007	Expenditure Vouchers	Travel, payroll, etc.	FE	3					Record Copy: Financial Services	
278	4.3.001	Sales Journals or Registers		FE	3					Record Copy: Financial Services	
279	4.3.002	Receipts Journals or Registers		FE	3					Record Copy: Financial Services	
280	4.3.003	Expenditures Journals or Registers		FE	3					Record Copy: Financial Services	



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281	4.4.001	General and Subsidiary Ledgers		FE	3					Record Copy: Financial Services	
282	4.4.002	Accounts Receivable Ledgers		FE	3					Record Copy: Financial Services	
283	4.4.003	Accounts Payable Ledgers		FE	3					Record Copy: Financial Services	
284	4.5.001	Worksheets for Preparing Fiscal Reports		FE	3					Record Copy: Financial Services	
285	4.5.002	Internal Fiscal Management Reports	Includes agency monthly budget reports.	FE	5					Record Copy: Financial Services	



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286	4.5.003	Annual Financial Reports	Required by the General Appropriations Act.	AC	6			AC = September 1 of odd-numbered calendar years.		Record Copy: Financial Services 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.	
287	4.5.005	External Fiscal Reports	Special purpose - i.e. federal financial reports, salary reports, etc. Includes HUB Reports.	FE	3					Record Copy: Financial Services	
288	4.5.006	Annual Operating Budgets	Required by the General Appropriations Act.	FE	3					Record Copy: Financial Services	
289	4.5.007	USAS Reports – Daily		AC				AC = Receipt and reconciliation of monthly report.			



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290	4.5.008	USAS Reports - Monthly		AC				AC = Receipt and reconciliation of annual report.			
291	4.5.009	USAS Reports - Annual		FE	3						
292	4.6.001	Balancing Records		FE	3					Record Copy: Financial Services	
293	4.6.002	Reconciliations		FE	3					Record Copy: Financial Services	
294	4.6.003	Cash Counts		FE	3					Record Copy: Financial Services	
295	4.7.001	Accounting Policies and Procedures Manual		AC	3			AC = US + FE			
296	4.7.002	Bank Statements		FE	3					Record Copy: Financial Services	
297	4.7.003	Returned Checks/Warrants/Drafts (Uncollectable)		AC	3			AC = After deemed uncollectable + FE.		Record Copy: Financial Services	
298	4.7.004	Capital Asset Records		LA	3					Record Copy: Financial Services	
299	4.7.005	Claim Files		AC	3			AC = Resolution of claim + FE.		Record Copy: Financial Services	
300	4.7.006	Comptroller Statements		FE	3					Record Copy: Financial Services	
301	4.7.007	Detail Chart of Accounts	One for all accounts in use for a fiscal year.	FE	3						



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302	4.7.008	Grant Records		AC	3			AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (the Common Rule).		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. CAUTION: Retention requirements may vary depending on the specific funding agency. Agencies must ensure that records are retained for the appropriate retention period.	
303	4.7.009	Fixed Asset Sequential Number Logs		US	3						
304	4.7.010	Long-Term Liability Records	Bonds, etc.	AC	3			AC = Retirement of debt + FE.		Record Copy: Financial Services	



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305	4.7.011	Texas Facilities Commission (TFC) Statements	Charge or bill statements received by agencies from the TFC for services provided.	FE	3						
306	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	4			AC= Until superseded, date of expiration, or termination of employee, whichever sooner.		Record Copy: Financial Services	
307	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, 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. a) Executed, renewed, or amended on or after September 1, 2015.	AC	7			AC = Expiration or termination of the instrument according to its terms + FE.		Record Copy: Financial Services SEE related item numbers 3.1.035 Performance Bonds and 5.3.007 Bid Documentation. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs.	Government Code 441.1855



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308	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, 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. b) Executed, renewed, or amended on or before August 31, 2015.	AC	4			AC = Expiration or termination of the instrument according to its terms + FE.		Record Copy: Financial Services SEE related item numbers 3.1.035 Performance Bonds and 5.3.007 Bid Documentation. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs.	Government Code 441.1855
309	5.1.003	Delivery Reports		FE	2					Record Copy: Financial Services	
310	5.1.004	Mail and Telecommunications Listings	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							
311	5.1.005	Postage Records	Records and reports of postage expenses, including postal meter usage.	FE	3					Record Copy: Financial Services	



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312	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.	AC	3			AC= US + FE		Record Copy: Financial Services	
313	5.1.013	Insurance Policies	For vehicles, equipment, etc. a) Executed, renewed, or amended on or after September 1, 2015.	AC	7			AC = Expiration or termination of the policy according to its terms + FE.		Record Copy: Financial Services Government Code 441.1855	
314	5.1.013	Insurance Policies	For vehicles, equipment, etc. b) Executed, renewed or amended on or before August 31, 2015.	AC	4			AC = Expiration or termination of the policy according to its terms + FE.		Record Copy: Financial Services Government Code 441.1855	
315	5.1.014	Office Procedures	Any internally distributed manual, guidelines, or similar records that establish standard office procedures for an agency; for example, agency style manuals, telephone protocols, mail room procedures, print shop and photocopy ordering instructions.	US	1						
316	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.	FE	1					Record Copy: Financial Services	



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					Years	Months	Days				
317	5.1.017	Contract Log	List of agency contracts, leases, and agreements including general obligation, land lease, utilities, and construction contracts.	FE	3						
318	5.2.004	Building Space Requests		FE	1					Record Copy: Financial Services	
319	5.2.006	Property Destruction, Certificates of		FE	3					Record Copy: Financial Services	
320	5.2.007	Damage Reports	Reports of damage to state property.	FE	3					Record Copy: Financial Services	
321	5.2.008	Equipment History File	Includes requests for installation, moves, service, etc.; and service/repair logbooks, etc.	AC	3			AC = LA + FE		For service agreements or contracts related to equipment repairs and service, retain in accordance with item number 5.1.001.	
322	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					Record Copy: Financial Services	
323	5.2.010	Equipment Manuals		LA							
324	5.2.011	Equipment Warranties		AC	1			AC = After equipment is removed from agency inventory.			
325	5.2.012	Estimate Files (Supply and Repair Cost Estimates)		FE	1						



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326	5.2.014	Inventory - Annual Physical	Property, equipment, supply verification.	FE	3					Record Copy: Financial Services	
327	5.2.015	Inventory, Notices of Equipment Removed From		FE	3					Record Copy: Financial Services	
328	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 listing.			
329	5.2.017	Lost & Stolen Property Reports		FE	3					Record Copy: Financial Services	
330	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.	FE	1					Record Copy: Financial Services	
331	5.2.020	Supply Usage Records		FE	1						
332	5.2.021	Surplus Property Sale Reports		FE	3						
333	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					Record Copy: Financial Services	



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334	5.2.024	Material Specifications		AC	2			AC = Material is no longer in the agency.			
335	5.2.025	Equipment Descriptions and Specifications Set by the agency.		AC	2			AC = Equipment is no longer in the agency.			
336	5.2.028	Building Construction Contract and Inspection Records	Building construction contracts, surety bonds, and inspection records.	LA	10				R	SEE ALSO item numbers 5.2.002 and 5.2.003.	
337	5.3.002	Freight Bills Paid		FE	3					Record Copy: Financial Services	
338	5.3.003	Freight Claims		AC	2			AC = Resolution of claim + FE.			
339	5.3.004	Order - Acknowledgments		AV						Record Copy: Financial Services	
340	5.3.005	Packing Slips		AV						Record Copy: Financial Services	



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341	5.3.007	Bid Documentation	Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, successful and unsuccessful bids, and bid tabulation/evaluations. a) Associated with a contract executed, renewed, or amended on or after September 1, 2015.	AC	7			AC=Expiration or termination of the instrument according to its terms or decision not to proceed with the bid. 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 documentation must be retained for the same period as the contract. SEE item number 5.1.001 an 5.2.028.		Record Copy: Financial Services	
342	5.3.007	Bid Documentation	Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, successful and unsuccessful bids, and bid tabulation/evaluations. b) Associated with a contract executed, renewed, or amend on or before August 31, 2015.	FE	3					Record Copy: Financial Services	



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343	5.3.007	Bid Documentation	Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, successful and unsuccessful bids, and bid tabulation/evaluations. c) 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			AC=Expiration or termination of the instrument according to its terms or decision not to proceed with the bid. 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 documentation must be retained for the same period as the contract. SEE item number 5.1.001 an 5.2.028.		Record Copy: Financial Services	
344	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						
345	4.2.005	Purchase Order/Requisitions		FE	3					Record Copy: Financial Services	



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346	5.3.009	Requests for Information	Requests for information preliminary to the procurement of goods or services by direct purchase or bid.	AC				AC = Date of direct purchase, issuance of request for bids, or decision not to proceed with the procurement, as applicable.		Record Copy: Financial Services	
347	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					Record Copy: Human Resources The Texas Department of Insurance retains copies of the reports submitted to it for 50 years.	29 CFR 1904.33.
348	5.4.002	Evacuation Plans	Plans for evacuation of agency facilities in cases of emergency.	US							
349	5.4.003	Inspection Records	Fire, safety, and other inspection records of agency facilities and equipment.	AC	3			AC = Inspection, or date of the correction of the deficiency if the inspection report reveals a deficiency + FE.		CAUTION: Does not include inspection reports of building construction. SEE item number 5.2.028.	
350	5.4.004	Fire Orders	Orders issued by Fire Marshal to correct deficiencies in compliance with the fire code.	AC	3			AC = Deficiency corrected.		Record Copy: Financial Services	
351	5.4.007	Hazardous Materials Training Records	Records of training given employees in an agency hazard communications program.	FE	5					Record Copy: Human Resources	Texas Health and Safety Code, 502.009(g).



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352	5.4.008	Hazard Communication Plans		AC	5			AC= US + FE		Record Copy: Financial Services	Texas Health and Safety Code, 502.009(g).
353	5.4.009	Workplace Chemical Lists		FE	30					Record Copy: Financial Services	Texas Health and Safety Code, 502.005(d).
534	5.4.010	Safety Data Sheets	Safety Data Sheets (SDS) that list information relating to occupational safety and health for the use of various substances and products.	AC				AC = After sheets are updated or hazardous chemical no longer stored by agency, as applicable.		Record Copy: Financial Services	29 CFR 1910.1020(d)(1)(ii)(B)
355	5.4.011	Visitor Control Registers	Logs, registers, or similar records documenting visitors to limited access or restricted areas of agency facilities.	FE	3					Record Copy: Customer Service	
356	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			AC = Until superseded, date of expiration + FYE, or date of termination + FYE, whichever sooner.			



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357	5.4.013	Continuity of Operations Plans (COOP)	Plans developed (per Texas Labor Code, 412.054) to mitigate the damage of potential events that could endanger an agency's ability to function. Includes disaster preparedness, response, and recovery plans.	US						Record Copy: Facilities Project Manager.	
359	5.5.002	Telephone Activity Records	Telephone logs created for internal documentation purposes; station activity reports of internal listings of incoming/outgoing telephone activity to individual telephone stations; operator call transfers; summary detail reports; and system activity reports of internal listings of all incoming/outgoing agency telephone activity.	AV							



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360	5.5.006	Billing Detail - Telecommunications (TEXAN)	In addition to summary detail, includes any accompanying detailed listing of long distance calls.	FE	3					Record Copy: Financial Services The billing agency will maintain all long distance TEX-AN records and will provide each using agency its bill summary of centralized capitol complex telephone service without call detail records. For these bill summaries, SEE item number 4.7.011. SEE item number 5.5.001 for billing detail from carriers other than TEX-AN.	
361	5.5.007	Disputed Call Documentation	Documentation relating to disputed long distance calls, including documents evidencing repayment by employees for personal long distance use.	FE	3						
362	5.6.003	Inspection Repair and Maintenance Records	Records and documentation related to inspections, repairs, and maintenance for state vehicles.	LA	1					Record Copy: Financial Services	
363	5.6.004	License and Driving Record Checks		AC				AC = Until superseded or until termination of employment.		Record Copy: Human Resources	



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					Years	Months	Days				
364	5.6.005	Vehicle Use Reports	Includes mileage, fuel/oil consumption, passengers carried and other related operational information.	FE	3					Record Copy: Financial Services	
365	5.6.007	Vehicle Titles & Registrations	Vehicle titles, registration information, and owner manuals for state vehicles.	LA						Record Copy: Financial Services	
366	5.6.009	Parking Permits or Assignments	Records documenting issuance of parking permits and assignments.	US						Record Copy: Human Resources	