

January 23, 2019



Ms. Nancy Clark
Deputy Commissioner of Administrative Operations and CFO
Texas Department of Insurance
333 Guadalupe St. 13th Floor MC113-1C
Austin, TX 78714-9104

Re: Agency records retention schedule amendment approved for use.

Dear Ms. Clark:

Amendment 1 to your agency's 7th recertification of your records retention schedule is approved for use as of January 17, 2019. Your currently approved records retention schedule and all amendments are available on our website at <https://www.tsl.texas.gov/slrn/state/schedules.html>. Please maintain this amendment with your currently approved schedule so that it can be easily referenced.

Lorenzo de Zavala
State Archives and
Library Building

1201 Brazos Street
Austin, Texas
78701

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

www.tsl.texas.gov

Commission Chairman
Michael C. Waters

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

Director and Librarian
Mark Smith

Assistant State Librarian
Gloria Meraz

We appreciate your efforts in maintaining an up-to-date schedule. Making additions and changes to your schedule as you identify them not only ensures the integrity of your recordkeeping practices but keeps your agency in compliance with state regulations (13 TAC §6.4) requiring the submission of any needed amendments to a retention schedule during its certification period to keep the information in the schedule current.

We will notify you of the date your schedule is due for recertification. Any additional approved amendments to your schedule, such as this one, should be incorporated into your main retention schedule prior to submitting it for recertification.

Thank you again for your commitment to complying with state records management laws and regulations. If we can provide any assistance to you, please contact the Government Information Analyst assigned to your agency, Gina Cervantes at 512-463-6623 or gcervantes@tsl.texas.gov.

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*

R01: 454



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 454

Agency Name Texas Department of Insurance

(Check one)

- Initial Certification - Form SLR 105
- Recertification - Form SLR 105
- Amendment - Form SLR 122

I hereby certify that this records retention schedule was prepared in accordance with Texas Government Code, Chapter 441, Subchapter L.

(Check one)

- Agency Head
- Records Management Officer

Signature

Name (Print or type) Nancy Clark, Deputy Commissioner for Administrative Operations and Chief Financial Officer

Date 12/13/18

Section 2. Approvals

(Submitting agencies do not write in this section)

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

Not Required at This Time

Signature _____

Name (Print or type) _____

Date _____

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

Signature

Name (Print or type) Gloria Meraz

Date

1/17/19

Cert/Recert No. 7

Amendment No. 1

CAUTION

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

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





STATE OF TEXAS
Records Retention Schedule

SLR 122
 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: 454		2. Agency Name: Texas Department of Insurance											
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	13. N, C, O	14. Current AIN
					Years	Months	Days						
FR-6a		Agent's License Filings - Never Issued, Canceled, Expired License	Applications for Licensure which were either never issued, canceled, or expired out.	AC	1			AC = After closed or finalized.				C	FR-6
FR-11a		CLR Foreign Company Files - Active	Includes all documents for the transactions that require TDI approval, or were submitted as required by Texas law: incorporations, mergers, assumption reinsurance, amendment filings (name changes, home office changes, capital increases, redomestications, misc. amendments, change in attorney in fact; underwriter substitutions), conversions, financials (IPS, ProForma, Form 8, etc.), MEWA license/activity, CCRC license, JUA renewal of COA, HMO license/activity, HCC license/activity, WC SIG license/activity, PEO approval / activity, Captive license / activity, Surplus Lines Insurance Company license/activity, Bylaws / Minutes, Attorney for Service.	AC	3			AC = After transaction completed.		AC+3= Company records are destroyed three years after company transaction completed, unless in receivership. Then records are kept until no longer administratively valuable post receivership.		C	FR-11



STATE OF TEXAS
Records Retention Schedule

SLR 122
 Rev. 2017-07

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					Years	Months	Days						
FR-12a		CLR Foreign Company Files - Inactive	Includes all documents for the transactions that require TDI approval, or were submitted as required by Texas law including incorporations, mergers, assumption reinsurance, amendment filings (name changes, home office changes, capital increases, redomestications, misc. amendments, change in attorney in fact; underwriter substitutions), conversions, financials (IPS, ProForma, Form 8, etc.), MEWA license/activity, CCRC license, JUA renewal of COA, HMO license/activity, HCC license/activity, WC SIG license/activity, PEO approval / activity, Captive license / activity, Surplus Lines Insurance Company license/activity, Bylaws / Minutes, Attorney for Service.	AC	2			AC = After closed; company certificate of authority (COA) has been canceled or dissolved.		AC+2= Company records are destroyed two years after company COA has been canceled or dissolved, unless in receivership. Then records are kept until no longer administratively valuable post receivership.		C	FR-12



November 26, 2018

Ms. Nancy Clark
Deputy Commissioner, Administrative Operations
Texas Department of Insurance
333 Guadalupe St. 13th Floor; MC113-1C
Austin, TX 78714-9104

Re: Agency records retention schedule approved for use.

Dear Ms. Clark,

Your agency's records retention schedule is approved for use as of November 20, 2018. Your currently approved records retention schedule is available on our website at <https://www.tsl.texas.gov/slrn/state/schedules.html>. Please ensure that all old copies of the schedule are superseded with this recertified copy.

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

Each agency schedule must be reviewed, updated and submitted for recertification annually for the first two years after the initial approval of the schedule and every five years thereafter. The deadline for submission of your schedule for its next recertification is the last working day of November, 2023.

During a certification period, changes may need to be made to your schedule. State regulations (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, Gina Cervantes at 512-463-6623 or gcervantes@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,

Craig Kelso
Director and State Records Administrator

cc: Agency head

Lorenzo de Zavala
State Archives and
Library Building

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Director and Librarian
Mark Smith

Assistant State Librarian
Gloria Meraz

TSLAC

Preserving yesterday
Informing today
Inspiring tomorrow

R01: 454



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 454
 Agency Name Texas Department of Insurance

(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

Nancy Clark

Name *(Print or type)* Nancy Clark

Date 5/25/2018

Section 2. Approvals

(Submitting agencies do not write in this section)

State Auditor's Office

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

Signature

Not Required at This Time

Name *(Print or type)*

Date

Texas State Library and Archives Commission

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

Signature

Gloria Mervin

Name *(Print or type)*

Gloria Mervin

Date

6/20/18

Cert/Recert No.

7

Amendment No.

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CAUTION

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STATE OF TEXAS
Records Retention Schedule

SLR 105
 Rev. 2017-07

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					Years	Months	Days				
AR-1	1.1.008	Correspondence - Legislative Inquiries	Includes legislative correspondence and responses in any medium and logs of inquiries.	AC	2			AC = After response complete.			
AR-2	1.1.004	Legislative Appropriation Request	Including any supporting documentation created and/or used to justify and support legislative appropriations requests by the agency.	AC	6			AC = September 1 of odd numbered calendar years.	A	ARCHIVES NOTE: Archival requirement met by sending required copies of 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.	
AR-3	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. Includes complaints filed <u>against regulated entities.</u>	AC	2			AC = Final disposition of complaint.		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.	
AR-4	1.1.006	Division of Workers' Compensation (DWC) Commissioner Ombudsman Response Files - Legislative	Inquiries received from legislative offices concerning the agency and workers' compensation insurance, and records pertaining to the resolution of the inquiry.	AV						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.	
AR-5	1.1.006	Insurance Commissioner Ombudsman Response Files - Legislative	Inquiries received from legislative offices concerning the agency and records pertaining to the resolution of the inquiry.	AC	2					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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AR-6	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 Texas Department of Insurance (TDI) and the administrative regulations, policies, and procedures that govern them.		4				R	Contact the State Archives when these records have met their retention periods as review is limited to executive staff and others. CAUTION: This records series applies to correspondence that is not directly related to another records series. Example: Include a letter concerning an audit in item number 1.1.002	
AR-7	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 TDI.		2					Includes employee newsletters. CAUTION: This records series applies to correspondence that is not directly related to another records series.	
AR-8	1.1.010	Directives	This record includes any document that officially initiates, rescinds, or amends general office procedures.	US	1					Includes Insurance Commissioner orders or administrative directives for the agency's general administrative and office procedures.	
AR-9	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 TDI officials or employees. Includes commissioner of insurance, commissioner of workers' compensation, deputy commissioners, and directors. Includes events posted on the agency calendar.	CE	1				R	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.	



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					Years	Months	Days				
AR-10	1.1.014	Legal Opinions and Advice	From agency legal counsel or the Attorney General, including any requests eliciting the opinions. Includes historical research regarding legislative intent of statutes or bills, statutory history, includes transcripts, audio tapes, etc.	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.	
AR-11	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		
AR-12	1.1.023	Organization Charts		US					A		
AR-13	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		
AR-14	1.1.024	Conference Planning Files	Plans and records relating to the process of planning agency conferences, including fraud and compliance conferences.	AC	3			AC = Date of conference.	R		
AR-15	1.1.024	Program Management and Operations	Records related to agency or division program management and operations that are not included in or directly related to other series in this schedule.	AC	3			AC =Record is superseded and management determines it in no longer administratively valuable.	R	The minimum retention period for this record series is AC+3 years. The records may be retained for a longer period if management determines they are administratively valuable	



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					Years	Months	Days				
AR-16	1.1.024	Project Management	Files and documents related to agency projects that are not included in or directly related to other record series in this schedule.	AC	3			AC = after project closes.	R	Projects files involving contracts are retained for 7 years. SEE 5.1.001 (a). This record series excludes information technology projects covered under record series 2.1.009	
AR-17	1.1.027	Proposed Legislation	Drafts of proposed legislation, fiscal notes, biennial reports, analysis, legislative history, and related correspondence.	AV							
AR-18	1.1.038	Customer Surveys	Surveys returned by the customers or clients of the agency, and the statistical data maintained rating the agency's performance.	AC				AC = Final disposition of summary report.		SEE item number 1.1.067 for summary reports compiled from customer surveys. Customer Satisfaction Survey is legislatively required and conducted every 2 years. Series also includes other informal customer surveys.	
AR-19	1.1.040	Speeches, Papers, and Presentations	Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC				AC = end of term in office or termination of service in a state position.	R		



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AR-20	1.1.043	Training Materials	Instructional materials developed by an agency for training entities or individuals it regulates or serves. Includes Print and DVD courses and materials purchased by TDI; in-house CLE training materials, sign-in sheet for reporting to the Texas State Bar, materials for internal use only (Power Point, handouts, and presentations). This record includes curriculum and training aides used by trainers to conduct seminars, on-site company training, and other training events.	US	1						
AR-21	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 requirement met by sending required copies to Texas State Publications Depository Program.	Texas Government Code, Sections 2054.095 and 2056.002.



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AR-22	1.1.057	Transitory Information	Records of temporary usefulness that are not an integral part of a records series of TDI, that are not regularly filed within TDI'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 TDI or in the preparation of an ongoing record series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of TDI functions. Some examples, in any medium (voicemail, 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 TDI	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).	
AR-23	1.1.058	Meeting Agenda 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.	



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AR-24	1.1.059	Meetings, Certified Agendas or Tape 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.	Texas Government Code, Section 551.104, Paragraph a.
AR-25	1.1.060	Meetings, Audio or Videotapes of Open	Audio or video recordings of open meetings of TDI or TDI-DWC.	AC			90	AC = Official approval of written minutes of the meeting by the governing body of the agency.			
AR-26	1.1.061	Meeting Notes	Notes taken during open meetings of TDI or TDI-DWC from which written minutes are prepared.	AC			90	AC = Approval of formal minutes.			
AR-27	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	SEE caution comment at item number 1.1.058.	
AR-28	1.1.063	Staff Meeting Minutes and Notes	Minutes or notes, and supporting documentation, taken at internal agency staff meetings. Applicable where formal minutes are taken.		1						



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AR-29	1.1.064	Agency Performance Measures Documentation	Any records needed for the documentation of output, outcome, efficiency, and explanatory measures in TDI'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 record series in this schedule if the records series is needed for documentation of agency performance measures.	
AR-30	1.1.065	Reports and Studies (Non-Fiscal) - Raw Data	Information or data collected and compiled for the purpose of producing non-fiscal reports. Includes data collected for research purposes.	AV						Includes compliance for company policy count filings; Also see agency item numbers RP-18, RP-19, RP-21, and RP-35 for Regulatory Policy division's property and casualty (P&C) and life and health data calls.	Texas Insurance Code, Section 521.052.
AR-31	1.1.066	Reports - Annual and Biennial Agency (NonFiscal)	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.	Texas Insurance Code, Section 32.022.
AR-32	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 research studies and reports distributed either internally or to other entities.		3			AC = Distribution of final report.	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.	



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AR-33	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.			
AR-34	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.	
AR-35	1.1.070	Agency Rules, Policies, and Procedures - Final	Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects. Includes internal publications or statements which define division/agency policies and operating procedures; i.e. employees' guide, office procedures manuals, etc.	AC	3			AC = Completion or termination of program, rules, policies, or procedures.	R	SEE Agency Rules, Policies and Procedures - Working Files, 1.1.071.	
AR-36	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	Working files for administrative rules, includes the most recent draft but not preliminary or interim draft versions.	



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AR-37	1.1.074	Sunset Review Report and Documentation		AC	3			AC = After the subsequent Sunset Review.	R		
AR-38	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 request.	AC	1			AC = Discontinuance of use of form.			
AR-39	1.2.010	Records Disposition Log	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						
AR-40	1.2.012	Records Inventory Worksheets		US							
AR-41	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.		Send required copies to the Texas State Publications Depository Program, Texas State Library and Archives Commission	
AR-42	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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AR-43	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, and SAS files.	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.		Excludes enforcement and litigation files and Insurance Commissioner orders. 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.	
AR-44	2.1.007	Software Programs	Automated software applications and operating system files including job control language, program listing/source code, etc.	AC				AC = At the completion of annual network report card.			
AR-45	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.	Texas Administrative Code, Title 13, Section 6.94.



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AR-46	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	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 other electronic records being retained to meet an approved retention period that require the documentation to be retrieved and read, and management determines the documentation is no longer administratively valuable.		This record includes information such as: data report specifications; User Developed Application (UDA) system requirements and definitions; program code; and user guides. CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.	Texas Administrative Code, Title 13, Section 6.94.
AR-47	2.2	Data Processing Requests	Includes internal data processing requests from division program areas, including data specifications and mock-up reports, as well as ad hoc reports.	AV							
AR-48	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						Applies to TexFIRS system and others. Also see agency item number FM-22.	



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AR-49	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.		Applies to TexFIRS system and others. Also see agency item number FM-22.	
AR-50	3.1.014	Employment Selection Records	Includes notes of interviews with candidates, questions asked of applicants, audio and videotapes of job interviews, and all other records that document the selection process. Does not include criminal history checks. See item number 3.1.026.		2					CAUTION: Does not include criminal history checks. SEE item number 3.1.026.	Code of Federal Regulation, Title 29, Section 1620.31.
AR-51	3.1.019	Performance Appraisals			2						Code of Federal Regulation, Title 29, Section 1620.32(c)
AR-52	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.		Caution: If, during the retention period of this record series, any part of this series is used to document and support personnel disciplinary action under item 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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AR-53	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 or unfavorable	AC	5			AC = Termination of employment.			
AR-54	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.		2						Code of Federal Regulation, Title 29, Section 1602.31.
AR-55	3.1.022	Personnel Information - General	Forms or records concerning an employee that are not included in or directly related to other record series in this schedule.		2						Code of Federal Regulation, Title 29, Section 1602.31.
AR-56	3.1.027	Training and Educational Achievement Records (Individual)	Certificates of completion, transcripts, test scores, or similar records documenting training, testing, certification, or continuing education achievements of an employee.	AC	5			AC = Termination of Employment.		Includes State Bar of Texas Continuing Legal Education information and related materials; Star Award, Gold Star Award.	



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AR-57	3.3.020	Work Schedules/Assignments	Work, duty, shift, crew, or case schedules, rosters, or assignments. Includes telecommuting schedules.		1						
AR-58	3.3.030	Training Administration Records - Mentoring Programs	Forms, documents, and associated data for TDI mentoring programs.	US	2						
AR-59	4.2.003	Daily Cash Receipts Logs		FE	3						
AR-60	4.5.001	Worksheets For Preparing Fiscal Reports		FE	3						
AR-61	4.5.002	Internal Fiscal Management Reports	Includes agency monthly budget reports.	FE	3						
AR-62	4.7	Fiscal Records - General	Reports or records concerning agency fiscal records that are not included in or directly related to other record series in this schedule. Includes records and data related to division budgets such as expenditure history, purchases, transfers, requested analysis, travel information and expenses, and related materials that are not included in or directly related to other records series in this schedule.	FE	3						
AR-63	4.7.011	Texas Facilities Commission Statements (TFC)	Charge or bill statements received by agencies from the TFC services provided.	FE	3						



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AR-64	5.1.001	Contracts and Leases (a)	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, correspondence, and other contract management items. Includes application documentation in the master contract file per Texas Comptroller of Public Accounts Contract Management Guide.(a) Executed, renewed, or amended on or after 9/1/2015.	AC	7			AC = Expiration or termination of the instrument according to its terms.		Executed, renewed or amended on or after 9/1/2015: AC + 7; Executed, renewed, or amended on or before 8/31/2015: AC + 4.	Texas Government Code, Section 441.1855.
AR-65	5.1.001	Contracts and Leases (b)	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, correspondence, and other contract management items. Includes application documentation in the master contract file per Texas Comptroller of Public Accounts Contract Management Guide.(b) Executed, renewed, or amended on or before 9/31/2015.	AC	4			AC = Expiration or termination of the instrument according to its terms.		Executed, renewed or amended on or after 9/1/2015: AC + 7; Executed, renewed, or amended on or before 8/31/2015: AC + 4.	Texas Government Code, Section 441.1855



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AR-66	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							
AR-67	5.1.014	Office Procedures	Internally distributed manuals, guidelines, and similar records that establish standard office procedures for the agency; for example, agency style manuals, telephone protocols, mail room procedures, print shop and photocopy ordering instructions, letterhead.	US	1						
AR-68	5.1.015	Correspondence Tracking Records	This record includes any records 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 such as UPS pick-up logs.		1						
AR-69	5.3.007	Bid Documentation (a)	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 9/1/2015.	AC	7			AC = Expiration or termination of the instrument according to its terms or decision not to proceed with the bid.			
AR-70	5.3.007	Bid Documentation (b)	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 amended on or before 8/31/2015.	FE	3						



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AR-71	5.3.007	Bid Documentation (c)	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 = Date of notification of denial or date of withdrawal, as applicable.			
AR-72	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						
AR-73	5.4.007	Hazardous Materials Training Records	Records of training given employees in an agency hazard communications program.		5						Texas Health and Safety Code, Section 502.009, Paragraph g.
AR-74	5.4.012	Security Administration Files	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, or date of termination, whichever sooner.			
AR-75	5.4.013	Disaster Preparedness and Recovery Plans		US						Includes agency reconstitution plans, Continuity of Operations Plan (COOP), disaster recovery, and related materials.	



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AO-1	1.1.053	Registration Logs	Logs or similar records listing 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.		Quarterly reports sent to Texas Ethics Commission.	
AO-2	1.2.001	Destruction Authorizations	Agency level documents authorizing final disposition of records under a certified records retention schedule.	FE	3						
AO-3	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						Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission.	
AO-4	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, TSLAC, by the agency records management officer.			
AO-5	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 titles, dates of records, and date destroyed or transferred.		10						



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AO-6	1.2.011	Record Center Storage Approval Forms (RMD 106)	Agency copy.	US							
AO-7	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					Includes records management information in Operations Manual.	
AO-8	2.1.007	Automated Applications	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. Includes scripts and software; includes processing files related to operating systems, work station images, and server images based on Data Center Services (DCS) refresh cycle.	Texas Administrative Code, Title 13, Section 6.94.
AO-9	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.	Texas Administrative Code, Title 13, Section 6.94.



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AO-10	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 of specifications, and system flow charts; program descriptions and documentation such as program flow charts, 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	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.		Includes technical manuals, and any technical documentation for software, databases, applications, or scripts ITS supports.	Texas Administrative Code, Title 13, Section 6.94.
AO-11	2.2.001	IT Problem Management	Electronic files or automated logs created to monitor problems or reports reported to the Information Technology Help Desk.	AV							
AO-12	2.2.001	System Change Management Forms	Electronic files, automated logs or other documentation created to monitor computer systems alterations including changes to servers, databases, etc.	AV							Code of Federal Regulation, Title 29, Section 1602.31.



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AO-13	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					Includes Primavera - ITS employee time spent on ITS tasks and projects.	
AO-14	3.1	Employee Career Planning Records	Course Approvals, Session Planning, & Training.	AV							
AO-15	3.1.001	Applicant Records (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						Code of Federal Regulation, Title 29, Section 1602.31.
AO-16	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.			Code of Federal Regulation, Title 29, Section 1602.31.
AO-17	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.	AC	3			AC = Termination of counseling.			



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AO-18	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.		CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item 3.2.001.	
AO-19	3.1.012	Employment Opportunity Announcements	Internal or external announcements or advertisements of job openings, promotions, training programs, or opportunities for overtime.		2						Code of Federal Regulation, Title 29, Section 1602.31.
AO-20	3.1.014	Employment Selection Records	Notes, memoranda, or reports relating to the counseling of an employee for work-related, personal, or substance abuse problems. Usually maintained at the supervisorial level.		2						Code of Federal Regulation, Title 29, Section 1602.31.
AO-21	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.		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 1.1.048.	
AO-22	3.1.019	Performance Appraisals		AC	2			AC = Termination of employment.			Code of Federal Regulation, Title 29, Section, 1620.32(c).



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					Years	Months	Days				
AO-23	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.		CAUTION: If, during the retention period of this record 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.	
AO-24	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	AC	5			AC = Termination of employment.			



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AO-25	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						Code of Federal Regulation, Title 29, Section 1602.31
AO-26	3.1.023	Position/Job Descriptions	Job descriptions, including all associated task or skill statements, for positions in an agency.	AC	4			AC = Until Job superseded or job eliminated.			Texas Administrative Code, Title 40, Section 815.106(i).
AO-27	3.1.024	Physical Examinations/Medical Reports	Medical or physical examination reports or certificates of employees for whom periodic monitoring of health or fitness is required.	AC	2			AC = Until superseded or termination of employment.		CAUTION: Does not include pre-employment physical examinations. SEE item number 3.1.014.	
AO-28	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 records 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.	



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AO-29	3.1.029	Employment Eligibility, Documentation or Verification	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 is later. Agencies should make certain that the INS I-9 forms for employees who terminate from an agency less than 3 years from date of hire are kept for the 3 year retention period.	Code of Federal Regulation, Title 8, Sections 274a.2(b)(2)(i)(A) and (c)(2).
AO-30	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.		CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item 3.2.001.	
AO-31	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.	
AO-32	3.1.037	Employee Recognition Records	Awards, incentives, tenure, etc.	AC	5			AC = Termination of employment.			
AO-33	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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AO-34	3.1.039	Ombudsman Records	Consultation records, notes, letters, memos, emails, reports, and other documentation.	AC				AC = Final decision or matter closed.		Maintained by Ombudsman. CAUTION: Does not include formal complaint filed with EEO. If matter becomes a grievance or the subject of counseling or litigation, or employee is subject to disciplinary action, the records are subject to retention in the appropriate records series. See 1.1.048, 3.1.006, 3.1.018, 3.1.020, and 3.1.021.	
AO-35	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.			
AO-36	3.2.002	Employee Earning Records			4						Texas Administrative Code, Title 40, Section 815.106(i).
AO-37	3.2.003	Federal Tax Records	Includes 1099, W2, Federal Insurance Contributions Act (FICA), and other tax records.	AC	4			AC = Tax due date, date the claim is filed, or date tax is paid, whichever is later.			Code of Federal Regulation, Title 26, Section 31.6001-1(e)(2).
AO-38	3.2.004	Income Adjustment Authorization	Used to make increases or decreases to employees' gross pay, FICA, retirement, or in the computation of taxes.		2						Code of Federal Regulation, Title 29, Section 516.6(c).



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AO-39	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.			Code of Federal Regulation, Title 26, Section 31.6001-1(e)(2).
AO-40	3.2.006	Wage Rate Tables			2						Code of Federal Regulation, Title 29, Section 516.6(a)(2).
AO-41	3.2.007	Unemployment Compensation Records		AC	5			AC = Termination of employment.			
AO-42	3.2.008	Direct Deposit Application/Authorizations		US							
AO-43	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.	
AO-44	3.2.010	Human Resources Information System (HRIS) Reports	Includes supporting documentation.	AC	4			AC = Date report is finalized.			
AO-45	3.3.001	Affirmative Action Plans	Affirmative action plans for both regular employees and apprenticeship programs.		5						Code of Federal Regulation, Title 29, Section 30.8(e).



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AO-46	3.3.010	Labor Statistics Reports	Reports providing statistical information on labor force.		3						
AO-47	3.3.011	Former Employee Verification Records	Minimum information needed to verify employment, includes name, SSN, exact dates of employment, last known address, and most recent public assess option form.	AC	75			AC = Termination of employment.		See item number 3.1.038.	
AO-48	3.3.015	Positions/Job Classification Review File	Records relating to review and monitoring of job classifications within an agency.	US	3						
AO-49	3.3.022	Texas Workforce Commission (TWC) Reports	Reports to the agency from TWC or its predecessor pertaining to employees.		3						
AO-50	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						
AO-51	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						
AO-52	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						



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					Years	Months	Days				
AO-53	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						
AO-54	3.3.027	Aptitude and Skills Tests	Aptitude and skills tests required of job applicants or of current personnel to qualify for promotion or transfer.	US	2						Code of Federal Regulation, Title 29, Section 1602.31.
AO-55	3.3.028	Aptitude and Skills Tests (Test Papers)	Aptitude and skills test papers of job applicants or of current personnel taking a test to qualify for promotion or transfer.		2						Code of Federal Regulation, Title 29, Section 1602.31.
AO-56	3.3.029	Aptitude and Skills Tests (Validation Records)	Records of the validation of aptitude and skills tests.	AC	2			AC = As long as the test is used by an agency			Code of Federal Regulation, Title 29, Section 1602.31.
AO-57	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. Also includes training material for individuals and entities regulated or served by agency.	US	2						



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AO-58	3.3.031	Equal Employment Opportunity (EEO) Reports and Supporting Documentation	Includes documentation used to complete EEO reports.		3						Code of Federal Regulation, Title 29, Sections 1602.32, 1602.39, 1602.41, 1602.48, and 1602.50
AO-59	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						Code of Federal Regulation, Title 29, Section 1620.32.
AO-60	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						
AO-61	3.4.002	Leave Status Reports	Cumulative report is issued each pay cycle and provides employee leave status information for each position.	FE	3						
AO-62	3.4.003	Less Than Full-Time Worked Reports	Dates and hours.		4						Texas Administrative Code, Title 40, Section 815.106(i).
AO-63	3.4.004	Overtime Authorizations			2						
AO-64	3.4.005	Overtime Schedules			2						
AO-65	3.4.006	Time Cards and Time Sheets			4						Texas Administrative Code, Title 40, Section 815.106(i).



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AO-66	3.4.007	Time Off and/or Sick Leave Requests		FE	3						
AO-67	3.4.008	Sick Leave Pool Documentation	Requests submitted, approvals, number of hours transferred in and out, etc.	FE	3						
AO-68	4.1.001	Accounts Payable Information	Includes invoices, certifications, and other supporting documentation.	FE	3					Excludes documentation for federal funds	
AO-69	4.1.002	Billing Detail	Includes examination monthly, rate and form filing, examination overhead.	CE	4					CAUTION: Does not include long distance telephone billing detail. See item numbers 5.5.001, 5.5.006, and 5.5.007.	
AO-70	4.1.003	Canceled Checks/Stubs/Warrants/Drafts		FE	3						
AO-71	4.1.004	Encumbrance Detail		FE	3						
AO-72	4.1.005	Inventory and Other Cost Files	Production, job, labor, quotes, pricing, specifications, etc.	FE	3						
AO-73	4.1.007	Transfers or Budget Revisions	Transfers or adjustments to budgets. Includes budget journals, (Record of or Request for Budget Change) RBCs.	FE	3						
AO-74	4.2.001	Cash Deposit Vouchers	Cash deposit slips.	FE	3					Electronic.	
AO-75	4.2.002	Cash Receipts	Includes receipts for fees (permits, licenses, renewals, etc.).	FE	3					Electronic.	
AO-76	4.2.004	Encumbrance Vouchers	Orders, statements, change orders, quarterly Binding Encumbrance & Accounts Payable (BEAP).	FE	3					Electronic.	



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AO-77	4.2.005	Purchase Vouchers	Requisitions, receiving reports, invoices, or statements, change orders, best value determinations, etc.	AC	3			AC = After the contract is completed/expires or all issues that arise from any litigation, claim, negotiation, audit, open records request, administrative review, or other action involving the contract or documents are resolved.		This record series excludes purchase orders.	
AO-78	4.2.006	General Journal Vouchers	Centralized Accounting and Payroll/Personnel System (CAPPS) Journals, Uniform Statewide Accounting System (USAS) journal vouchers.	FE	3					Electronic.	
AO-79	4.2.007	Expenditure Vouchers	Travel, payroll, etc.	FE	3					Excludes documentation for federal funds.	
AO-80	4.3.002	Receipts Journals or Registers		FE	3					Electronic - Available on Demand.	
AO-81	4.3.003	Expenditures Journals or Registers		FE	3					Electronic - Available on Demand.	
AO-82	4.4.001	General and Subsidiary Ledgers		FE	3					Electronic - Available on Demand.	
AO-83	4.4.002	Accounts Receivable Ledgers		CE	4					Electronic - Available on Demand.	
AO-84	4.4.003	Accounts Payable Ledgers		FE	3					Electronic - Available on Demand.	
AO-85	4.5.001	Worksheets for Preparing Fiscal Reports	Agency Financial Report (AFR) work papers, BEAP work papers; Benefits Proportional By Fund; Fringe Benefits.	FE	3					Paper and Electronic.	
AO-86	4.5.002	Internal Fiscal Management Reports	Includes agency monthly budget reports.	FE	3						



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AO-87	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.		Archival requirement only if an agency does not produce a biennial or annual narrative report under 1.1.066.	
AO-88	4.5.005	External Fiscal Reports	Special purpose - i.e. federal financial reports and support, National Association of Insurance Commissioners (NAIC), salary reports, etc. Includes Historically Underutilized Businesses (HUB) reports.	AC	3			AC = 3 years after final report submitted.			
AO-89	4.5.006	Annual Operating Budgets	Required by the General Appropriations Act. Includes recommended budget and external budget.	FE	3						
AO-90	4.5.007	USAS Reports - Daily	Detailed Accounting Financial Report (DAFR) Reports, HX Extract.	AC				AC = Receipt and reconciliation of monthly report, and management has determined it is no longer administratively valuable.		Electronic.	
AO-91	4.5.008	USAS Reports - Monthly	DAFR Reports.	AC				AC = Receipt and reconciliation of annual report, and management has determined it is no longer administratively valuable.		Electronic.	
AO-92	4.5.009	USAS Reports - Annual	DAFR Reports.	FE	3					Electronic.	
AO-93	4.6.002	Reconciliations	Capital Assets; Cat Pool; Health Insurance Pool.	FE	3						



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AO-94	4.7.001	Accounting Policies and Procedures Manual		US	3						
AO-95	4.7.002	Bank Statements	Imprest accounts, Texas Treasury Safekeeping Trust Company.	FE	3						
AO-96	4.7.003	Returned Checks/Warrants/Drafts (Uncollectable)		AC	3			AC = After deemed uncollectible.			
AO-97	4.7.004	Capital Asset Records		LA	3						
AO-98	4.7.005	Claim Files		AC	3			AC = Resolution of claim.			
AO-99	4.7.006	Comptroller Statements	DAFR Reports, HX Extract.	FE	3					Electronic.	
AO-100	4.7.007	Detail Chart of Accounts	One for all accounts in use for a fiscal year.	FE	3					Electronic - Available on Demand.	
AO-101	4.7.008	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).		Paper & Electronic, Federal. CAUTION: Retention requirements may vary depending on the specific funding agency. Agencies must ensure that records are retained for the appropriate retention period.	
AO-102	4.7.012	Signature Authorizations	Signature cards or similar records establishing authority of an agency employee to initiate or authorize financial transactions on behalf of an agency.	AC	3			AC = Until superseded at fiscal year end.		Paper & Electronic.	
AO-103	5.1.005	Postage Records	Records and reports of postage expenses, including postal meter usage.	FE	3						



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AO-104	5.1.007	Requisitions for In-Agency or Inter-Agency Copy/Printing Service	Includes word processing and data processing.	AV							
AO-105	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						
AO-106	5.2.001	Appraisals - Building or Property		AV					R		
AO-107	5.2.002	Building Construction Project Files	Planning, design, and construction records; accepted and rejected bids; correspondence; etc.	AC	10			AC = Completion of project.	R	SEE ALSO item numbers 5.2.003 and 5.2.028.	
AO-108	5.2.003	Building Plans and Specifications - State owned	Includes architectural and engineering drawings, profiles, and blueprints.	LA					R	ARCHIVES NOTE: Archival review designation is for state-owned buildings only. SEE ALSO item numbers 5.2.002 and 5.2.028.	
AO-109	5.2.003	Building Plans and Specifications - Leased	Includes architectural and engineering drawings, profiles, and blueprints.	AC	2			AC = Termination or cancellation of lease.		SEE ALSO item numbers 5.2.002 and 5.2.028.	
AO-110	5.2.004	Building Space Requests			1					Lease.	
AO-111	5.2.008	Equipment History File	Includes requests for installation, moves, service, etc.; and service/repair logbooks, etc.	LA	3						
AO-112	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					In Purchase Order (PO) Folder.	



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					Years	Months	Days				
AO-113	5.2.010	Equipment Manuals	Documentation for hardware, telephone, and peripherals.	LA							
AO-114	5.2.012	Estimate Files (Supply and Repair Cost Estimates)			1					Minor Construction - Texas Facilities Commission (TFC).	
AO-115	5.2.014	Inventory - Annual Physical	Property, equipment, supply verification.	FE	3						
AO-116	5.2.015	Inventory, Notices of Equipment Removed From		FE	3						
AO-117	5.2.017	Lost & Stolen Property Report		FE	3						
AO-118	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. Includes telephone and SDE records.		1						
AO-119	5.2.020	Supply Usage Records		FE	1					Paper back-up.	
AO-120	5.2.021	Surplus Property Sale Reports		FE	3					Paper & Electronic.	
AO-121	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.	
AO-122	5.2.027	Space Utilization Reports		AC	2			AC = Report submitted.		Reports requested by TFC.	
AO-123	5.3.005	Packing Slips		AV							



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AO-124	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 maintained internally on accident frequency.	CE	5					TDI retains reported copy at agency for additional 50 years.	Code of Federal Regulation, Title 29, Section 1904.33.
AO-125	5.4.001	Accident Reports and Associated Documentation Submitted to TDI	Accident or occupational disease reports (by supervisors and employees) and other associated reports required to be submitted to the Texas Department of Insurance.		50					Reports submitted to TDI by other agencies. Does not include reports made by TDI.	Code of Federal Regulation, Title 29, Section 1904.33.
AO-126	5.4.002	Evacuation Plans	Plans for evacuation of agency facilities in case of emergency.	US							
AO-127	5.4.003	Inspection Records	Fire, safety, and other inspection records of agency facilities and equipment. Includes SORM inspection records and reports.	AC	3			AC = Inspection, or date of the correction of the deficiency if the inspection report reveals a deficiency.			
AO-128	5.4.007	Hazardous Materials Training Records	Records of training given employees in an agency hazard communications program.		5						Texas Health and Safety Code, Section 502.009, Paragraph g.
AO-129	5.4.011	Visitor Control Registers	Logs, registers, or similar records documenting visitors to limited access or restricted areas of agency facilities.		3						
AO-130	5.5.001	Billing Detail - Telecommunications (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.	



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AO-131	5.5.003	Station Activity Reports	Internal listing of incoming/outgoing telephone activity to individual telephone stations.	AV							
AO-132	5.6.003	Inspection Repair and Maintenance Records - Vehicles		LA	1						
AO-133	5.6.004	License and Driving Record Checks		AC				AC = Until superseded or until termination of employment.			
AO-134	5.6.005	Vehicle Use Reports	Includes mileage, fuel/oil consumption, passengers carried and other related operational information.	FE	3						
CD-1		Fraud Reports	Reports of fraud are documents and/or information received from industry, consumers, other agencies, and from internal sources reporting suspicion of insurance fraud. Most of the reports are confidential and require Criminal Justice Information System (CJIS) and/or Health Insurance Portability and Accountability Action (HIPAA) security protections.	AC	3			AC = Report Closed.			



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CD-2	2.1.002	Life Policy Locator files	Relatively long-lived computer files containing organized and consistent sets of complete and accurate electronic records. Web application, database, and information related to TDI's Life Policy and Annuity Locator program.	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 and management has determined it is no longer administratively valuable.			
CD-3		Case Files, Class C	Case files are products of a criminal investigation and includes investigative summaries, evidence, subpoenas, warrants, affidavits, and information that require HIPAA and CJIS security. Adjudicated in a court as a Class C Misdemeanor.	AC		6		Case adjudicated.			
CD-4		Case Files, Class A & B & State Jail Felonies	Case files are products of a criminal investigation and includes investigative summaries, evidence, subpoenas, warrants, affidavits, and information that require HIPAA and CJIS security. Adjudicated in a court as a Class A or B Misdemeanor or State Jail Felony.	AC	2			Case adjudicated.			



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CD-5		Case Files, 2nd & 3rd	Case files are products of a criminal investigation and includes investigative summaries, evidence, subpoenas, warrants, affidavits, and information that require HIPAA and CJIS security. Adjudicated in a court as a 2nd or 3rd Degree Felony.	AC	10			Case adjudicated.			
CD-6		Case Files, 1st Degree	Case files are products of a criminal investigation and includes investigative summaries, evidence, subpoenas, warrants, affidavits, and information that require HIPAA and CJIS security. Adjudicated in court as a 1st Degree Felony.	AC	50			Case adjudicated.			
CD-7		Case Files, Referred/Non Referred	Case files are products of a criminal investigation and includes investigative summaries, evidence, subpoenas, warrants, affidavits, and information that require HIPAA and CJIS security. These are Declined by Prosecution/Dismissed in a court of law/No Billed by a Grand Jury or Closed and not referred for prosecution.	AC	7			Declined/Dismissed/No Billed or Case Closed.			
DWC-CP-1		Performance Review Files	Part of Compliance and Investigations. This record include performance review notice, evidence, preliminary report, worksheets, final report.	AC	5			AC = After case results closed.		This record is stored at the TSLAC 06-454-202 and 06-454-203. Includes files closed with consent order or warning issued and files closed with no further action. Old RMD 106 approved 00-453-038	Texas Labor Code, Sections 414.002 and 414.004.



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DWC-CP-6		Alleged Administrative Violation Investigations: Closed with Finding Other Than Confirmed	Part of Compliance and Investigations. This record includes all documentation related to investigations of alleged administrative violations; closed without administrative remedy	AC	2			AC = No violation found, case is closed in agency complaint database.		This record is stored at the TSLAC. 06-454-189. Old RMD 106 approved 94-453-025.	Texas Labor Code, Sections 402.023(d), 402.0231, and 402.092.
DWC-CP-7		Alleged Administrative Violation Investigations: Closed with Confirmed Finding	Part of Compliance and Investigations. This record includes all documentation related to investigations of alleged administrative violations; closed with a Warning Letter or Education Letter.	AC	3			AC = Violation is found, case is closed in agency complaint database.		This record is stored at the TSLAC 06-454-190. Old RMD 106 approved 94-453-026.	Texas Labor Code, Sections 402.023(d), 402.0231, and 402.092.
DWC-CP-8	1.1067	Performance Based Oversight (PBO) Reports	This record is a tier designation report, which is posted on the web.	AC	3			AC = Date final assessment results are completed by DWC.	R	Retention period is defined by program policy. This record is stored at the TSLAC 06-454-198. Old RMD 106 approved 94-453-034.	
DWC-CP-9	1.1065	Performance Based Oversight (PBO) Working Papers	This record includes all documentation and portable storage devices related to assessment reviews. Working tool of record review is contained on an MS Access Database.	AC	2			AC = Date final assessment results are completed by DWC.		Retention period is defined by program policy. This record is stored at the TSLAC 06-454-191. Old RMD 106 approved 94-453-027.	



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DWC-CP-10	1.1.048	DWC Enforcement Files	This record includes all documentation related to investigations of alleged administrative violations closed: 1. Without administrative remedy; 2. With a Warning Letter; 3. With No Further Action; 4. With a Consent order; or 5. With a Commissioner's order.	AC	7			AC = Investigation Closed.	R	This record is stored at the TSLAC 90-454-013.	
DWC-FR-01		Fraud Case Files and Reports	This record includes supporting documentation related to specific fraud investigation cases, outcomes and reports.	AC	7			AC = Closed/Resolved.		Retention period defined by program policy.	
DWC-HCM-20		Preauthorization – Certified Accredited Rehabilitation Facility (CARF) Facility Exemptions	This record includes files on CARF Accredited facilities exempt from preauthorization.	AC	2			AC = Upon expiration of facility exemption period.		Retention period is defined by program policy.	
DWC-HCM-22		Return-to-Work Files	This record includes documents related to requests for reimbursement. Including applications submitted, receipts, approvals and denial information. Includes yearly training totals for Return-To-Work. Includes educational materials pertaining to Return-To-Work	FE	2					Retention period is defined by program policy.	
DWC-HE-1	1.1	Benefit Hearing File - Contested Case Hearing (CCH), Excluding Death Benefit Claims	This record includes all Claims Except Death Benefit Claims. Primarily legal records that will include cd's, audio cassette tapes and videos. Formerly titled Benefit Hearing Files.	AC	10			AC = Closed, Contested Case Hearing Decision and Order Rendered.			



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					Years	Months	Days				
DWC-HE-2	1.1	Benefit Hearing File - Contested Case Hearing (CCH), Death Benefit Claims	This record includes original documents and paper records that may include audio cassette tapes, pictures and other related media.	AC	20			AC = Final action on Hearings file.			
DWC-HE-3	1.1	Administrative Procedure Act (APA) Hearing Files. Formerly Administrative Procedure and The Texas Register Act Hearings Files	This record includes original documents provided by State Office of Administrative Hearings (SOAH) and sent to DWC for retention purposes once cases are adjudicated. Also includes contents of hearing records and other documents.	AC	10			AC = Final action on APA file.		This record is stored at the TSLAC 06-454-196. Old RMD 106 approved 96-453-032.	
DWC-HE-04		Old Law Hearing Files	This record includes legal information that may include the DWC060, medical records and medical bills as they relate to a work related injury.	FE	50					Coordinate with DWC Legal and BPI.	
DWC-HE-05		Benefit Review Conference (BRC) Exchange Folder	This record includes paper records that may include cd's, audio cassette tapes and videos. (Requests for BRCs filed on or after October 1, 2010). Also referred to as <u>BRC File or Green Folder</u>	AC				AC = 90 days after concluded BRC.		Requests for BRCs filed on or after October 1, 2010.	
DWC-LE-01	1.1.048	DWC Litigation Files	This record includes documents created by or on behalf of an agency 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	This record is stored at the TSLAC 06-454-205. Old RMD 106 approved 00-453-041. 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.	



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DWC-LE-03	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.	AC	2			AC = Date request fulfilled.			Texas Government Code, Chapter 552.
DWC-LE-04	1.1.021	Open Records Requests - Exempted	Includes all correspondence and documentation relating to requests for records that are exempt under the Public Information Act.	AC	2			AC = Date of notification that records are exempt.			Texas Government Code, Chapter 552.
DWC-MFDR-8		Medical Fee Dispute Resolution (MFDR) Case File with Decision	This electronic file contains a scan copy of the original Request for Medical Fee Dispute Resolution and documentation submitted by the parties in disputes.	AC	20			AC = Date case is closed in MDRIS.		If the medical review results in a Division Decision, the corresponding dispute file is scanned and retained. This record is scanned and stored electronically at O:\HC Mgmt & SMO\HC Business Mgmt\MFDR\Scanned Disputes.	Texas Labor Code, Section 413.031.
DWC-MFDR-10		Electronic Data Interchange (EDI) Workers' Compensation Medical Data	This record includes electronically submitted medical bill/payment information. Example: EDI837. Includes HCFA 1500, UB82 and UB92. Medical charges, payments, treatment, and protocol data.	FE	50						Texas Labor Code, Section 413.007.
DWC-MFDR-23		Health Plan Claim Matching Data	This record includes incoming and outgoing Health Plan Claim Matching Requests and Responses. Data match requests submitted by Health Plans or other authorized entities.	AC				AC = When request is satisfied. The date that the Division transmits the data match information to the health plan.			



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DWC-MFDR-24		Medical Dispute Resolution Case File with No Decision	This file contains the Request for Medical Fee Dispute Resolution DWC Form-60 and documentation submitted by Health Care Providers, Injured Employees, or pharmacy processing agents to DWC. Also includes responses from Insurance Carriers, and letter of withdraw or dismissal of a fee dispute.	AV	1					Retention period is defined by program policy.	
DWC-MFDR-25	2.1.002	Voluntary and Informal Network Relationship Data	Electronically submitted voluntary or informal network contact and relationship information. Reported by the Informal or Voluntary Network.	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, and when management determine it in no longer administratively valuable.			
DWC-OMA-3		Approved Doctor List (ADL) and Supporting Documentation Files	This record includes information about doctors removed or denied from the ADL as posted on the TDI external website.	AV						Retention period is defined by program policy.	



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DWC-OMA-6		Designated Doctor (DD) Application Files - Certification and Recertification	This record includes information about doctors applying for certification or recertification to the designated doctor program.	AC	2			AC = From the date certification expires.			Texas Labor Code Sections, 408.0041, and 408.1225; Texas Administrative Code, Sections 127.100 and 127.110.
DWC-OMA-15		Medical Quality Review (MQR) Files and Final Reports	This record includes summary of review findings and subsequent recommendation(s) by Medical Advisor regarding the subject under review and the closure letter sent to the subject. This record includes a summary of requested documents plus any other information necessary about the subject to conduct the review.	AC	5			AC = Case is closed in MQR database. When referred to Enforcement, record is kept 5 years from date Enforcement closure.		Retention period is defined by program policy.	
DWC-OMA-17		Medical Quality Review Panel (MQRP) Member Files	This record includes documents related to contracting with medical experts such as application, billing information, curriculum vitas, background criminal history check, medical board printout, and correspondence.	AC	2			AC = From the date contract expires.		Retention period is defined by program policy.	



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					Years	Months	Days				
DWC-OMA-18	1.1.006	Medical Quality Review Complaint Records	This record includes originals of all complaints such as medical billing, quality of care, behavioral allegations, etc., regardless of whether or not they resulted in an Medical Quality Review Process (MQRP) review.	AC	3			AC = Final disposition of the complaint.		When referred to Enforcement, record is kept 2 years from date Enforcement closure. 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.	Texas Labor Code, Section 402.023, Paragraph d. Texas Labor Code, Sections 402.0231. Texas Labor Code, Section 402.092.
DWC-RM-12		Workers' Compensation Insurance Coverage Files	This record includes insurance coverage information required to be reported to the Division by: 1. DWC Form-005; 2. DWC Form-020; 3. DWC Form-20SI; 4. DWC Form-081; 5. DWC Form-082; 6. DWC Form-083, and 7. DWC Form-084.	FE	50					This record is stored at DWC and the TSLAC. (microfilm/microfiche only). 06-454-182. Old RMD 106 approved 92-453-018 .	1. Texas Labor Code, Sections 406.004 and 406.006; 2. Texas Labor Code, Section 407.081; 3. Texas Labor Code, Section 504.053(b)(2); 4. Texas Labor Code, Section 406.123; 5. Texas Labor Code, Section 406.122 and 406.123; 6. Texas Labor Code, Sections 406.141, 406.144, and 406.145; 7. Texas Labor Code,



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DWC-RM-14		Workers' Compensation Claim Files	This record includes injury or illness information and data reported to the Division by: 1. EDI 148 - claim-related first report of injury transactions received by DWC through Electronic Data Interchange (EDI); 2. Online DWC Form-041 submissions; 3. Other prescribed Division forms such as the DWC Form-001. (Also known as I.A.B. Case Files, G-Files, Texas City Disaster, K-Files, L-Files, J-Files, X-Files, and "W" Year Claim Files). This record includes reportable claims with more than 1 but less than 8 days lost time. Also referred to as "X" claim files. This record includes Old Injury Books - claim information not available in COMPASS (formerly known as Old Injury Reports). This record includes insurance coverage information reported to DWC by DWC Form-005, DWC Form-020, DWC Form-20SI, DWC Form-081, DWC Form-082, DWC Form-083, and DWC-Form 084.	FE	50					Workers' Compensation Claim Files stored at DWC and at the TSLAC (microfilm/microfiche only). 06-454-184. Old RMD 106 approved 93-453-020. Workers' Compensation Claim Files - Reportable (No Lost Time) stored at DWC and at the TSLAC (microfilm/microfiche only). 06-454-181. Old RMD106 approved 92-453-017. Old Injury Books stored at DWC and at TSLAC. 06-454-194. Old RMD 106 approved 94-454-030. Workers' Compensation Insurance Coverage Files stored at DWC and the TSLAC (microfilm and microfiche only). 06-454-182. Old RMD 106 approved 92-453-018.	Texas Labor Code, Sections 402.081, 402.082, 402.083; 28 Texas Administrative Code, Section 122.2; Vernon's Texas Civil Statutes, Article 8307, Sections 3e and 7(a)-(b); Texas Labor Code, Sections 406.004, 406.006, 407.081, 504.053(b)(2), 406.122, 406.123, 406.141, 406.144, and 406.145.
DWC-RM-29		Non-Covered Employer's Report of Injury or Illness Files	This record includes injury or illness information reported to the Division by non-covered employers using the DWC Form-007.	AC	50			AC = After Processed.			Texas Administrative Code, Title 28, Section 160.2.



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					Years	Months	Days				
DWC-RM-30	5.4.012	DWC Security Administration Files	This record includes information pertaining to the administration and maintenance of security access to Division systems such as COMPASS and TXCOMP.	AC	2			AC = Until superseded, date of expiration, or date of termination, whichever sooner, and management determine it no longer has administrative.			
DWC-SIF-1		Subsequent Injury Fund (SIF) File	This record includes documents related to the subsequent injury fund. Each file contains the application for payment with all attachments, payment records, correspondence, etc. for an individual reimbursement request or lifetime income benefit	AC	3			AC= Review / Approval / Denial.		This record is stored at the TSLAC. 07-454--210. Retention period is defined by program policy. Note: LIB files are reviewed annually so it is not considered AC until LIBs are no longer owed.	
DWC-SIF-2		Subsequent Injury Fund (SIF) - Reimbursement summaries	This record is the SIF generated summary for each reimbursement request.	AC	8			AC= Review / Approval / Denial.		Retention period is defined by program policy.	
DWC-SIR-1		Self-Insurance Regulation (SIR) Applications and Status Reports from Certified Self-Insurers	This record includes SIR initial application, renewal application, and status reports from certified self-insurers; including all attachments not included as part of the company files.	AC	3			AC = date annual review of Certified Self-Insurer (CSI) is complete.		Retention period defined by program policy. This record is stored at the TSLAC 07-454-209.	
DWC-SIR-2		Non-Certified Employer Files	This record includes initial application, correspondence, press releases, financial statements, financial working papers and claims administration, and safety working papers for each non-certified self-insured company by year.	AC	1			AC = date of withdrawal or denial of application.			



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DWC-SIR-3		Self-Insurance Regulation - CSI Company Files	This records includes company specific information such as financial statements, TPA contracts, excess insurance, location lists, withdrawal plans, parental guarantee, and security deposit documents.	AV						Retention period defined by program policy. This record is stored at the TSLAC 07-454-209.	
DWC-WCR-10	1.1.065	DWC Reports, Studies, and Surveys - Raw Data	This record includes: 1. Network report card; 2. Nonsub report; 3. Impact of the pharmacy closed formulary.	AV							
DWC-WPS-11	1.1.067	DWC Safety Violation Hotline Report	This record includes documentation of calls, allegations and correspondence with employer on correction of hazards.		3				R	Retention period defined by program policy.	
DWC-WPS-12		Accident Prevention Services Insurance Company Inspections	This record includes documentation of insurance company accident prevention services inspection activities.	AC	6			AC = Date of final inspection report.		Retention period defined by program policy.	
DWC-WPS-17		Census of Fatal Occupational Injury (CFOI)	This record includes a collection of data on fatalities that occur in Texas annually verified and reported to the Bureau of Labor Statistics. This is a grant requirement.	AC	1			AC = Completion of Census.			Code of Federal Regulations, Title 29, Section 97.42 and written into the Annual Contract with the Bureau of Labor Statistics.



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DWC-WPS-18		Occupational Injury and Illness Survey (After 08/01/95)	This record includes a collection of data on illnesses and injuries that occur in Texas annually. Verified through employer surveys and reported to the Bureau of Labor Statistics. This is a grant requirement.	AC	1			AC = Completion of survey.			Code of Federal Regulations, Title 29, Section 97.42 and written into the Annual Contract with the Bureau of Labor Statistics.
DWC-WPS-19	1.1.067	Accident Prevention Services Annual Reports	This record includes insurance company DWC Form-009 submissions.	US	3				R	Subsequent reports denote changes in insurance company processes over time; if no change occurs, the agency we need to be able to refer back to their initial report.	Texas Administrative Code, Title 28, Chapter 166.
DWC-WPS-3	1.1.067	Occupational Safety and Health Consultation (OSHCN) Reports	This record includes written reports and supporting documentation from consultations with employers by Occupational Safety and Health Consultation (OSHCN) staff.	AC	3			AC = Completion of consultation.	R	Retention period defined by program policy. This record is stored at the TSLAC 06-454-179. Old RMD 106 approved 91-453-015.	
DWC-WPS-4		Rejected Risk Inspection	This record includes documentation of visits to employer worksite, findings, recommendations, report.	AC	5			AC = Date of final inspection report to employer.		This record is stored at the TSLAC 06-454-192. Old RMD 106 approved 94-453-028.	
FR-1		Title Agent License Records	Application and licensee filing records for Title transactions.	AC	10			AC = After application and filing records are scanned.		Paper and electronic. Destroy paper 1 year after scanned. Retain scanned image 10 yrs.	
FR-2		Title Agent Certifications / Clearance Letters	Certification or Clearance filings processed through the department.	CE	2						
FR-3		Title Agent Continuing Education	Continuing education filings from Providers.	AC	2			AC = When expired.			



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FR-4		Title Agent Annual Certified Public Accountant (CPA) Escrow Audit Reports	Statute requires hard copy reports to be mailed to TDI by every agent. The report recaps the activity in the escrow accounts.	AC	3			AC = After report received.			
FR-5		Agent's Filings - Issued	Individual and Entity Applications, Renewals, Continuing Education (CE), Appointments, and Correspondence.	AC	5			AC = After closed or finalized.		Paper - 1 year at agency; 4 years storage at Records Center.	
FR-6		Agent's License Filings - Never Issued, Canceled, Expired License	Applications for Licensure which were either never issued, canceled, or expired out.	AC	1			AC = After closed or finalized.			
FR-7		Agent's Licensing Administrative Review Records	Agent and Adjusters Licensing (AAL) filings which have been processed by the Administrative Review staff.	AC	10			AC = Film date. (Shred criminal history.)			
FR-8		Agent's Licensing Exemption Records	CE exemption requests processed for Agents or Adjusters requesting exemption or extensions.	AV							
FR-9		Company Licensing and Registration Office (CLR) Microfilm Reels - Admitted Company	Admitted company file documents microfilmed prior to 2004.	PM						Reels kept on-site in Company Licensing and Registration Office (CLR). Master reels are stored at State Archives. This process is obsolete; kept on a PM basis because reels can't be split and they contain both active and inactive company records.	



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FR-10		CLR Domestic Company Files	Includes all documents for the transactions that require TDI approval, or were submitted as required by Texas law: incorporations, mergers, assumption reinsurance, amendment filings (name changes, home office changes, capital increases, redomestications, misc. amendments, change in attorney in fact; underwriter substitutions), conversions, financials (Insurer Profile Summary (IPS), ProForma, Form 8, etc.), Multiple Employer Welfare Arrangement (MEWA) license/activity, Continuing Care Residential Community (CCRC) license, Joint Underwriting Association (JUA) renewal of Certificate of Authority (COA), Health Maintenance Organization (HMO) license/activity, Health Care Collaborative (HCC) license/activity, Workers' Compensation Self Insured Group (WC SIG) license/activity, Professional Employer Organization (PEO) approval / activity, Captive license / activity, Surplus Lines Insurance Company license /activity, Bylaws / Minutes, and Attorney for	AC	2			AC = After closed; terminated, completed, expires or settled; company certificate of authority (COA) has been canceled or dissolved.		AC+2 = Company records are destroyed two years after company COA has been canceled or dissolved, unless in receivership. Then records are kept until no longer administratively valuable post receivership.	



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FR-11		CLR Foreign Company Files - Active	Includes all documents for the transactions that require TDI approval, or were submitted as required by Texas law: incorporations, mergers, assumption reinsurance, amendment filings (name changes, home office changes, capital increases, redomestications, misc. amendments, change in attorney in fact; underwriter substitutions), conversions, financials (IPS, ProForma, Form 8, etc.), MEWA license/activity, CCRC license, JUA renewal of COA, HMO license/activity, HCC license/activity, WC SIG license/activity, PEO approval / activity, Captive license / activity, Surplus Lines Insurance Company license/activity, Bylaws / Minutes, Attorney for Service.	AC	3			AC = After transaction completed.		AC+3= Company records are destroyed three years after company transaction completed, unless in receivership. Then records are kept until no longer administratively valuable post receivership.	



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FR-12		CLR Foreign Company Files - Inactive	Includes all documents for the transactions that require TDI approval, or were submitted as required by Texas law including incorporations, mergers, assumption reinsurance, amendment filings (name changes, home office changes, capital increases, redomestications, misc. amendments, change in attorney in fact; underwriter substitutions), conversions, financials (IPS, ProForma, Form 8, etc.), MEWA license/activity, CCRC license, JUA renewal of COA, HMO license/activity, HCC license/activity, WC SIG license/activity, PEO approval / activity, Captive license / activity, Surplus Lines Insurance Company license/activity, Bylaws / Minutes, Attorney for Service.	AC	2			AC = After closed; company certificate of authority (COA) has been canceled or dissolved.		AC+2= Company records are destroyed two years after company COA has been canceled or dissolved, unless in receivership. Then records are kept until no longer administratively valuable post receivership.	
FR-13		CLR Statutory Deposit Company Files - Active	Company's record relating exclusively to company's securities transactions.	US	2						



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FR-14		CLR Miscellaneous Statutory Deposit Correspondence	General Inquiries, Documents not required by Texas Insurance Code (TIC) or Texas Administrative Code (TAC), Certificates of Deposit.	AV						CDs that are created via database are not required to be maintained, just the record of the activity which created it.	
FR-15		CLR Insurance Company Certificates of Authority (COA)	License issued to a company.	US						Once company becomes inactive, license becomes a part of company file.	
FR-16		CLR Insurance Company Filing Correspondence	Correspondence related to a filing.	CE	3					CE+3 = Will keep 3 years from the calendar year end of the year the corresponding filing was completed.	
FR-17		Biographical Affidavits	Establishes officer/director competency.	AC	1			AC = Biographical affidavit processed and information stored in database.			
FR-18		CLR Statutory Deposit Company Files - Inactive	Inactive company records relating exclusively to the company's securities transactions.	AC	2			AC = After closed; company certificate of authority (COA) has been canceled or dissolved.		AC+2 = After Closed, company license has been canceled or dissolved, all company documents are destroyed after two years, unless in receivership. Then records are kept until receivership is closed and are no longer administratively valuable.	
FR-19		Unassociated Name Reservations	Name reservation requests, not associated with a filing. If associated with a filing, those documents will be kept with the company file.	CE	2					CE+2 = keep through the calendar year the request was completed, plus 2 years.	
FR-20		CLR Miscellaneous Filings	Transactions that are not considered company file.	AC				AC = Review is complete.			



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FR-21		CLR Miscellaneous Correspondence	General inquiries to the department regarding admitted companies and/or documents not required to be filed with the department pursuant to TIC/TAC.	AV						AV = Administrative Value, when the issue has been resolved or deemed no longer administratively valuable by the director of CLR.	
FR-22		CLR Withdrawn Filings	Company filings withdrawn and never approved.	CE	1						
FR-23		CLR Surplus Lines Agent Files - Active	Files maintained on Surplus Lines agents in accordance with Texas law regarding Late Policy Filers, Referrals, Complaints.	AC	3			AC = After transaction completed.		AC+3= Entity records are destroyed three years after transaction completed, unless in enforcement. Then records are kept until enforcement action is completed and no longer administratively valuable.	Texas Insurance Code, Chapter 981, Subchapter E
FR-24		CLR Surplus Lines Agent Files - Inactive	Files maintained on Surplus Lines agents in accordance with Texas law regarding Late Policy Filers, Referrals, Complaints.	AC	2			AC = License cancelled, or made inactive.		AC+2= Agent records are destroyed two years after license cancelled, unless in enforcement. Then records are kept until enforcement action is completed and no longer administratively valuable.	Texas Insurance Code, Chapter 981, Subchapter E
FR-25		CLR Non-Admitted Entity Files - Active	Accredited/Trusteed Reinsurers, Surplus Lines Insurers (SL), Risk Retention Groups (RRG), Purchasing Groups (PG) and Life Settlement (LS).	AC	3			AC = After transaction completed.		AC+3= Entity records are destroyed three years after transaction completed, unless in enforcement. Then records are kept until enforcement action is completed and no longer administratively valuable.	



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FR-26		CLR Non-Admitted Entity Files - Inactive	Accredited/Trusteed Reinsurers, Surplus Lines Insurers (SL), Risk Retention Groups (RRG), Purchasing Groups (PG) and Life Settlement (LS).	AC	2			AC = License cancelled, or made inactive.		AC+2 = After Closed, entity license has been canceled or dissolved, all documents are destroyed after two years, unless in enforcement. Then records are kept until enforcement action is completed and are no longer administratively valuable.	
FR-27		CLR Non-Admitted Entity Filing Correspondence	Correspondence from the entity regarding filings.	CE	3					CE+3 = keep through the calendar year the application was approved, plus 3 years.	
FR-28		Financial Statements - Non-Admitted Entity	National Association of Insurance Commissioners (NAIC) Financial Statements for Surplus Lines, RRG, and Accredited Reinsurers; Non-NAIC financial reports for Trusteed Reinsurers.	CE	2					CE+2 = keep through the calendar year the application was approved, plus 2 years.	
FR-29		CLR Non-Admitted Applications/Filings - Denied or Withdrawn	Denied or Withdrawn Applications / Filings.	CE	1					CE+1 = Keep denied or withdrawn applications for 1 years from the date the file was closed and discard at end of calendar year.	
FR-30		Biographical Affidavits - Life Settlements	Biographical affidavits for key officers, directors and other parties in accordance with TAC.	AC	1			AC = Biographical affidavit processed and information stored in database.			
FR-31		Surplus Lines Stamping Office of Texas (SLSOT) Annual Financial Audit Reports	Yearly audit performed by 3rd party audit firm that reviews the financial reports of the Stamping Office's operations.	CE	3					CE+3 = Calendar Year End plus 3 years.	



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FR-32		SLSOT Referrals and Enforcement Action Reports	Referrals from the Stamping Office for violations of the laws in TIC 981.	CE	3					CE+3 = Calendar Year End plus 3 years.	Texas Insurance Code, Chapter 981.
FR-33		CLR Enforcement Referrals - Non-Admitted Entity	Enforcement Referral Memo and Evidence of Violation.	AC	2			AC = Enforcement case closed.		AC+2 = After enforcement case closed kept 2 years, deleted at the end of calendar year.	
FR-34		Quarterly Filings for Surplus Lines insurers, Risk Retention Groups and Accredited/ Trusteed (A/T) Reinsurers	Financial Statements filed Quarterly for Surplus Lines, RRG, and Reinsures.	CE						CE= Quarterly statement reports 3/31, 6/30, 9/30, 12/31 are kept till calendar year end.	
FR-35		Annual Bordereau Recommendation	A list of the surplus lines insurers which continue to meet the eligibility requirements.	US						US = Kept until the next recommendation is received.	Texas Insurance Code, Chapter 981.
FR-36		CLR Surplus Lines Reports	Surplus Lines Agent Report of Premiums, Kind and Class Report by Agent, Report of Ineligible Securities.	CE	2					CE+2 = Calendar year end plus two years.	
FR-37		SLSOT Board Meeting Minutes and Board Packets	Quarterly the Board meets and provides packets which include the topics of discussion and later sends adopted and signed minutes from the meeting.	CE	3					CE+3 = Calendar year end plus three years. See exception to state records retention requirements in statute.	Texas Insurance Code, Section 981.159.
FR-38		SLSOT Annual Surplus Lines Agent Late Policy Filers Report	Annual report submitted to TDI for agents who have filed policies late.	CE	3					CE+3 = Annual reports kept for 3 years and then deleted at end of calendar year.	Texas Insurance Code, Section 981.105.
FR-39		SLSOT Monthly Surplus Lines Agent Late Policy Filers Report	Monthly report submitted to TDI for agents who have filed policies late.	CE	1					CE+1 = Calendar year end plus one year.	Texas Insurance Code, Section 981.105.



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FR-40		CLR Purchasing Group Agent Files	Files maintained on Purchasing Group agents.	AC	3			AC = Completion of transaction.		AC+3= Entity records are destroyed three years after transaction completed, unless in enforcement. Then records are kept until enforcement action is completed and no longer administratively valuable.	Texas Insurance Code, Chapter 2201 and Texas Administrative Code, Title 28, Chapter 13.
FR-41		CLR Non-Admitted Entity Quarterly Financial Reports	Tracking of quarterly financial data for SL, RRG, A/T.	CE	3					CE+3 = Calendar year end plus three years.	
FR-42		CLR Non-Admitted Entity Miscellaneous Correspondence	General inquiries regarding non-admitted entities and documents not required by TIC or TAC.	AC				AC = After closed; when the issue has been resolved.			
FR-43		Premium Finance Company Files - Active	Initial license application, supporting documents; Supplemental applications, supporting documents; Renewal applications, supporting documents.	AC	3			AC = Completion of transaction.		AC+3= Entity records are destroyed three years after transaction completed, unless in enforcement. Then records are kept until enforcement action is completed.	
FR-44		Premium Finance Company Files - Inactive	Initial license application, supporting documents; Supplemental applications, supporting documents; Renewal applications, supporting documents.	AC	2			AC = After closed; company license has been canceled.		AC+2 = After Closed, company license has been canceled, all company documents are destroyed after two years, unless in receivership or there is enforcement action. Then records are kept until receivership or enforcement action is closed and are no longer administratively valuable.	



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FR-45		Premium Finance Case Files	Correspondence and supporting documents for Enforcement Case, Complaints, and Legal Actions.	AV						AV=Administrative Value	
FR-46		Premium Finance Company License - Active	License issued to a Premium Finance Company.	US						Once a company becomes inactive license becomes part of company file.	
FR-47		Premium Finance Company Business Operations Forms	Forms providing Premium Finance Company's Business Operations plans.	US						Once a company becomes inactive becomes apart of company file.	
FR-48		Premium Finance Company Annual Operations Report	Annual report required to be submitted by Premium Finance Company to report their annual operations.	AC	3			AC = Completion of transaction.		AC+3 = After completion or approval of transaction, plus three years.	
FR-49		Premium Finance Company General Correspondence	Address changes and other correspondence related to transactions.	AC	3			AC = Completion of transaction.		AC+3 = After completion or approval of transaction, plus three years.	
FR-50		Premium Finance - Biographical Affidavits	Establishes officer/director competency.	AC	1			AC= After processed and information recorded.		AC=1 = After processed and information recorded plus one year.	
FR-51		Third Party Administrators (TPA) Company Files - Active	Includes all documents for transactions that require TDI approval, or were submitted as required by Texas law.	AC	3			AC = After transaction completed.		AC+3= Entity records are destroyed after transaction completed, unless in enforcement. Then records are kept until enforcement action is completed and no longer administratively valuable.	



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FR-52		TPA Company Files - Inactive	Includes all documents for transactions that require TDI approval, or were submitted as required by Texas law.	AC	2			AC= After closed; company license has been canceled.		AC+2 = After Closed, company license has been canceled, all company documents are destroyed after two years, unless in receivership or there is enforcement action. Then records are kept until receivership or enforcement action is closed and are no longer administratively valuable.	
FR-53		TPA Certificate of Authority - Active	Certificate of Authority (license) issued to a TPA.	US						Once a company becomes inactive, license becomes part of company file.	
FR-54		TPA Fidelity Bond Information	Fidelity Bond.	US						Once a company becomes inactive becomes part of company file.	
FR-55		TPA General Correspondence	Address changes and other correspondence related to transactions.	AC	3			AC = Review complete.			
FR-56		TPA Biographical Affidavits	Establishes officer/director competency.	AC	3			AC = After processed and information recorded.		AC+3 = Biographical Affidavit processed and information stored in database plus three years.	
FR-57		TPA Case File	Correspondence and supporting documents for the following; Enforcement Case, Complaints, and Legal Actions.	AV							
FR-58		TPA Annual Report	Annual report forms, maintenance tax form and financials.	AC	3			AC = After reviewed.		AC+3= After reviewed plus three years.	



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					Years	Months	Days				
FR-59		Review Applications - Active/Open Company Files	Includes all documents submitted with an application as supporting documents, deficiency letters, and applicant responses to the deficiencies. Current, open applications.	AC				AC = Scanned.		Visiflow documentation storage.	
FR-60		Review Applications - Closed/Expired Company Files	Includes all documents submitted with an application as supporting documents, deficiency letters, and applicant responses to the deficiencies. Old, closed applications.	AC	3			AC = All application documentation is microfilmed.		Microfilm stored at records center.	
FR-61		Out Files	Includes all documents submitted with an application as supporting documents, deficiency letters, and applicant responses to the deficiencies. Old, closed applications for companies no longer in business.	AC	3			AC = Purpose served.		Records still at Records Center.	
FR-62		Review Applications- Withdrawn, Closed, Expired	Includes all documents submitted with an application as supporting documents, deficiency letters, and applicant responses to the deficiencies.	AC	3			AC = Upon withdrawn, closed, or expired.			
FR-63		Independent Review Cases	Includes all documents submitted with a request for an Independent Review Organization (IRO), denial letters LHL009 form, and peer review letters.	AC	3			AC = Case closed.		Visiflow documentation storage.	



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FR-64		Form Filings	Includes all documents submitted with a form filing as supporting documents, deficiency letters, and company responses to the deficiencies.	AC	25			AC = After documents are scanned.		System for Electronic Rate and Form Filing (SERFF) documentation storage.	
FR-65	1.1.070	QA Policy and Procedures	Current policies and procedures for internal staff prescribing how processes should be completed, documented, and stored.	AC	3			AC = Superseded or completion or termination of program, rules, policies, or procedures.	R	Current policies kept on N drive for staff availability. When policy superseded, it is moved to archive file on N drive. SEE ALSO Agency Rules, Policies and Procedures - Working Files, 1.1.071.	
FR-66		Charter Files - WCNets	Complete, approved files of applicants, including application and final approved documents.	PM						Scanned to Visiflow, Paper (Keep until Calendar Year End)	
FR-67		Accreditation Files	Full response to the Interim Annual Review or Self-Evaluation Guide. (For every 5th year/on-site review.)		5						
FR-68		Recommendation Committee (RECO) Meetings Files	RECO Meeting Summaries and perpetual Excel log.		6					Maintain for six years to ensure availability of records for review by the NAIC Accreditation team.	



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FR-69		Financial Examination Reports	Final examination reports - Financial Examination Report, Market Conduct Examination Reports, Quality of Care Examination Reports, Title Examination Audits.	PM						After examination report is adopted, it is scanned to a disc (CD) and stored at the State Records Center. Paper is destroyed after it has been submitted to the State Records Center. Two copies are created: 1 TDI/1 State Records Center. PM=Disc (CD). After Examination report is Adopted, a copy is uploaded to the NAIC FEETS website to share with other regulators.	Texas Insurance Code, Sections 751.207 (a) and 401.058.
FR-70		Financial Examination Work Papers (paper based)	Financial Examination work papers, paper files prior to TeamMate including physical boxes of work papers for Financial Examination Report, Market Conduct Examination Reports, Quality of Care Examination Reports, Title Examination Audits.	AC	10			AC = Report adopted date.		Stored at Records Center for 10 years. After the AC+10 year retention period ends, Financial Examinations will communicate with the Rehabilitation & Liquidation Oversight Program to verify open receiverships. Work papers for open receiverships will be kept until the receivership is closed. Open receiverships=Do Not Destroy; Closed Receiverships=Destroy	Texas Insurance Code, Sections 751.207 (a) and 401.058.



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FR-71		Financial Examination Reports and Work Papers (electronic)	Examination Work papers (TeamMate - Distributed/CD) including Financial Examination Report, Market Conduct Examination Reports, Quality of Care Examination Reports, Title Examination Audits.	AC	10			AC = Report adopted date.		TeamMate Centralized Server houses main files. CD Version distributed after close. CD - Stored at Records Center for 10 years. After the AC+10 year retention period ends, Financial Examinations will communicate with the Rehabilitation & Liquidation Oversight Program to verify open receiverships. Work papers for open receiverships will be kept until the receivership is closed. Open receiverships=Do Not Destroy; Closed Receiverships=Destroy.	Texas Insurance Code, Sections 751.207 (a) and 401.058.
FR-72		Insurance Company Annual Statements	Annual Statements filed by the insurance companies.	CE	10					Paper (2 years) at agency / Microfilm (8 years). Paper destroyed after filmed.	
FR-73	1.1	Interim Statements (Domestic, Foreign)	Quarterly (Monthly) reports filed by the insurance companies.	CE	3					Monthly/Quarterly. (Paper)	
FR-74	1.1.008	Correspondence-Companies	Incoming/outgoing and internal correspondence, including emails and other interactions with the companies.	AC	10			AC = Correspondence received date.		Paper and electronic records relative to Statement Reviews.	
FR-75	1.1.065	Interim Financial Statements	Quarterly Statements filed by the insurance companies.	AV						Monthly Financial Statements & Correspondence.	



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FR-76		Financial Analysis- Examination Work papers	Examination Work Papers – Summary Review Memorandum (SRM), Progress Reports, Prospective Risk.	AC	10			AC = Examination Work Papers received date.		Electronic.	
FR-77		Own Risk and Solvency Assessment (ORSA) Reports	ORSA provides the insurer’s “own” assessment of their current and future risks.	AC	10			AC = ORSA received date.		Electronic.	
FR-78		Supplemental Compensation Exhibits (SCE)	Filing that provides officers' salary and compensation for a company.	AC	10			AC = SCE received date.		Electronic.	
FR-79		Financial Analysis - Holding Company and Reinsurance Transactions	Filing, Filing Fee, No Action Letter, Approval Letter, Memo.	AC	10			AC = Transactions received date.		Electronic Memo and Transaction.	
FR-80		Approval of Allocation of Divisible Surplus (Dividends) for Mutual Life Companies	Letter to Mutual Life companies issued by TDI Financial Actuarial.	US							Texas Insurance Code, Chapter 882, Subchapter H.
FR-81		Early Warning Information System (EWIS)	EWIS Oracle Database that contains the early warning indicators.	AV						Electronic/Paper. Paper Back-Up kept on-site	Texas Insurance Code, Section 401.201.
FR-82		Troubled Company Correspondence - Companies	Emails and work papers from companies.	AC	10			AC = Correspondence received date.		Stored in TeamMate. Paper / Electronic. Rel. to Statement Reviews. Stored at Records Center for 10 years.	
FR-83		Troubled Company Interim Financial Statements	Monthly financial reporting statements.	AC	10			AC = Financial statements received date.		Stored in TeamMate. Paper / Electronic. Rel. to Statement Reviews. Stored at Records Center for 10 years.	



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FR-84		Supervision - work papers	An ex parte action initiated for regulated entities that have potentially hazardous financial conditions. The action is up to 180 days and is confidential for entities with Guaranty Fund coverage. Goals include determining if rehabilitation is feasible and possible, and if so, working with management to develop and implement a business plan to guide the rehabilitation.	AC	4			AC = Expiration or termination of the instrument according to its terms.			Texas Insurance Code, Chapter 441, Subchapter C.
FR-85		Administrative Oversight - work papers	An action under for entities with delinquencies or potential delinquencies. An administrative oversight action provides the Department with an opportunity to determine whether to conserve or rehabilitate an insurer while protecting the public welfare and assisting insureds, creditors, and owners.	AC	4			AC = Expiration or termination of the instrument according to its terms.			Texas Insurance Code, Chapter 441.
FR-86		Hazardous Financial Condition-work papers	An action that requires the State Office of Administrative Hearings or the consent of the regulated entity. The action provides broad discretionary authority to the Commissioner and is generally used to correct financial conditions.	AC	4			AC = Expiration or termination of the instrument according to its terms.			Texas Insurance Code, Chapter 404, Subchapter A.



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FR-87		Conservation-work papers	An action that requires a SOAH (State Office of Administrative Hearing) or the consent of the regulated entity. The action lasts up to 270 days and is confidential for entities with Guaranty Fund coverage. Conservation is used to take charge of the management / operations of the regulated entity in hazardous financial condition.	AC	4			AC = Expiration or termination of the instrument according to its terms.			Texas Insurance Code, Chapter 441, Subchapter D.
FR-88	5.1.001	Special Deputy Receive (SDR) Contracts and Leases	Contracts between Special Deputy Receiver ("SDR") and Commissioner of Insurance (as Receiver); for receivership administration. There are no leases. A subcontractor may be an affiliate or a subsidiary of the SDR.	AC	4			AC = Expiration or termination of the instrument according to its terms.		This record series is for contracts executed on or before 8/31/15.	Texas Insurance Code, Chapter 443.
FR-89		SDR Bids	Bid proposals submitted by qualified professionals from approved SDR bidder list. The bids are evaluated and scored by a selection committee. Where a Historically Underutilized Business (HUB) Subcontracting plan is required, the bid must contain such plan. The Receiver has final approval of the recommended SDR.	FE	3					SDR contracts are not considered state contracts and have an exception to state contraction rules per Texas Insurance Code, Section 443.0135.	Texas Insurance Code, Chapter 443.



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FR-90		SDR Applications	Request for Qualification ("RFQ") workpapers, includes a pool of eligible bidders who have been pre-qualified by Financial Regulation Division, to ensure their competence and trustworthiness. These "Eligible Applicants" are admitted to the pool on the basis of written applications submitted in response to a published Request for Qualification issued periodically.	US	7					List of eligible bidders.	Texas Insurance Code, Chapter 443.
FR-91		Receivership Records	Records of insurance companies in closed receiverships.	AC	15			AC = After receivership closed.		Receivership records are not records of the Texas Department of Insurance per TIC 443.017(d). Rehabilitation and Liquidation Oversight ("RLO") Office of the Financial Regulation Division maintains closed receivership records, and a Rehabilitation and Liquidation Oversight Records Retention Policy.	Texas Insurance Code, Section 443.017(d).



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FR-92	5.1.001	SDR Contracts and Leases	Contracts between Special Deputy Receiver ("SDR") and Commissioner of Insurance (as Receiver); for receivership administration. There are no leases. A subcontractor may be an affiliate or a subsidiary of the SDR.	AC	7			AC = Expiration or termination of the instrument according to its terms.		This record series is for contracts executed on or after 9/1/15.	Texas Insurance Code, Chapter 444.
GC-1	1.1	Petitions	Proposals for standard and uniform manual rules, rating plans, classification plans, statistical plans, and policy endorsement forms for motor vehicle insurance, fire and allied lines insurance, workers' compensation insurance and multiperial insurance. These actions are exempt from the requirements of the Administrative Procedure Act.	AC	3			AC = After completed, superseded, or final order issued.		If appealed, see retention for Administrative Hearings.	
GC-2	1.1	Rule/Rate Petitions	Petitions for the adoption of rules that are subject to the Administrative Procedures Act.	AC	1			AC= After denial or final order issued.			Texas Government Code, Section 2001.021.
GC-3	1.1	Commissioner's Bulletins	A bulletin is a document of an advisory or informational nature only issued by TDI and sent to groups of insurers licensed to sell a particular line of insurance or to all or part of a group of licensees or certificate holders.	AC	2			AC = Until superseded or obsolete; some AV if necessary.		TDI retains the permanent Record Copy and sends 1 copy to the Texas State Publications Depository Program, TSLAC. Scanned bulletins from 1995 to present. Storing electronically and paper. Bulletins stored on R drive.	



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GC-4	1.1.057	Routing Slips	A routing slip is document that serves as a cover document for items sent to the Insurance Commissioner for his approval. The routing slip includes a summary description of the item being sent to the commissioner, text of any communications to be sent to the public regarding the item, and a list of signatures of TDI staff who reviewed and approved the item prior to it being provided to the Commissioner. The summary information included in the routing slip may include confidential or protected information.	AC	7			AC = Purpose of record has been fulfilled.		Since routing slips serve as documentation of legal review they will be retained for a period of no less than 7 years.	



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					Years	Months	Days				
GC-5		Commissioner Orders	Final orders in which TDI imposed disciplinary measures on regulated persons, consent orders, orders in which the commissioner made findings of fact and conclusions of law on issues including rate filings and changes; workers' compensation classification relativities; Texas Windstorm Insurance Association (TWIA) annual inflation adjustments; rate assessments, and Texas Automobile Insurance Plan Association plan of operations amendments; orders declaring a weather related an event a catastrophe for purposes of claims processing, and other orders issued by the Commissioner of Insurance.	PM					A	Board orders and Commissioner Orders 1927-2009 on microfilm. Commissioner Orders 2010 to present scanned to R drive.	
GC-6	1.1.026	Texas Register Submission	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 Texas Register.			



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					Years	Months	Days				
GC-7	1.1.048	Litigation Files	Includes the serving citation with an attached petition/complaint where TDI is being sued in an official capacity. These are legal actions for which TDI requests representation from the Office of the Attorney General (OAG).	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	Records created by or on behalf of an agency in anticipation of or in the adjudication of a lawsuit.	
GC-8		Subpoenas	Serving a subpoena on TDI in an official capacity to give testimony/provide documents. These records are for legal actions TDI resolves in-house or requests representation from the OAG.	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.			
GC-9		Citations/Petitions/Subpoenas	Citations, petitions, or subpoenas severed on the Insurance Commissioner as agent for service of process for certain persons.	AC	2			AC = After service of process is served.			



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GC-10	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, hearing calendars, and meeting minutes. Includes Insurance Commissioner Hearing exhibits, transcripts, confidential hearings, State Office of Administrative (SOAH) hearings, audio and/or video recordings.	AC	3			AC = After order becomes final and appealable.	R	Includes transcripts and final decisions of hearings conducted as part of the regulatory process, and hearings on proposed rules and changes. If appealed, see retention for Litigation files.	
GC-11	5.1.001	Miscellaneous Agreements	Miscellaneous agreements generally include letter agreements, non-monetary interagency agreements, memoranda of understanding, and other forms of contracts or agreements where no funds are exchanged between TDI and another party. Miscellaneous agreements do not include agreements or negotiations regarding the settlement of lawsuits, leases, contracts requiring payment by third party applicants or participants, special deputy receivers, or the designation of statistical agents.	AC	7			AC = After expiration/termination.			



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GC-12	1.1	Assurance of Voluntary Compliance (AVC)	AVCs are confidential. The agency used these to settle matters in this confidential way and in case the Respondent does not comply with the AVC then TDI still has jurisdiction over the Respondent and can take further action via Commissioner Order either by a Consent Order or taking the Respondent to a SOAH hearing.	PM						No longer being used, but have a permanent retention.	
GC-13	1.1.008	Amusement Ride Letters	Letters sent as a result of/with a Commissioner's Order that are sent to the owners of bounce house companies who have not complied with the Texas Amusement Ride Safety Inspection and Insurance Act. Also includes letters of referral sent to the Office of Attorney General.	AC	2			AC = date letter sent.			
GC-14		Class Action Notices	Notices of class action lawsuits against insurance companies.	AV							
GC-15		Public Information Requests	Includes all correspondence and documentation relating to requests for records that are furnished to the public under Public Information Act and documentation relating to requests for records that are exempt under the Public Information Act.	AC	2			AC = Date request fulfilled.		Includes RSIN 1.1.020 and 1.1.021. TDI maintains this as one agency record series as the agency's tracking system does not distinguish between requests that are not exempt and those that are exempt.	Texas Government Code, Chapter 552.



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IA-1	1.1.002	Audits	Audits and reviews performed by or on behalf of an agency, including the working papers that support the audit and the final audit report. Also includes audits performed on the agency, the audit risk analysis plan, annual audit plan, and peer reviews.	AC	7			AC = Publication or release of final audit findings.		The State Auditor's Office retains the record copy of its audits performed on the agency. Includes documentation maintained in TeamMate software application.	Texas Government Code, Chapter 2102.
IA-2	1.1	Internal Audit Division Charter	Defines the Internal Audit Division purpose, authority, and responsibility.	US							Texas Government Code, Chapter 2102.
LE-1	1.2.013	Library Records	Includes books published by other sources pertaining to the law and business of insurance. Also includes Account Logs for Lexis Nexus, Law360, EBIA Checkpoint, INSource for Insurance.	AC				AC = When control aid is updated, revised or no longer needed.			
LE-2		Financial Regulatory Cases	Cases referred by the Financial Regulation Division, but does not include receivership records.	AC	3			AC = After the case is closed.		SEE Liquidation Oversight Records Retention Policy revised May 2003 for receivership records.	
LE-3	1.1.048	TDI Litigation Files	Records created, received, and obtained by or on behalf of the Enforcement section in anticipation of or in the adjudication of disciplinary actions and proceedings.	AC	7			AC = Closed/Resolved.	R	Agency AC+1; Stored at Records Center 6 years.	
LE-4	1.1.048	Subpoenas - Not served	Correspondence and documentation from a court, administrative agency, or grand jury to produce documents.	AC	1			AC = After issue closed.	R	For subpoenas not served on the commissioner, or requests for representation by Office of the Attorney General (OAG).	



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LE-5	2.1.002	Master Files - Enforcement	Long-lived electronic data files containing organized and consistent sets of records and data tables pertaining to Enforcement's Litigation Files and commissioner orders.	PM						Includes Sircon and the legacy Case Tracking System (CTS) as evidence of compliance with past commissioner orders.	
PA-1	1.1.019	Public Relations Records - News Releases	News, press releases, or any public relations files maintained or issued by TDI, including news releases posted on TDI websites. Includes print, electronic, audio, and audiovisual records.		2				R		
PA-2	1.1.019	Public Relations Records - Social Media Content	Public relations files related to TDI's social media accounts. Includes print, electronic, audio, and audiovisual records for any social media activity for TDI.		2				R		
PA-3	1.1	Access Forms - Communication and Web Tools	Required employee forms to permit access to the web content management systems and external communication tool.	FE	2						
PA-4	5.4.012	Capitol Access Forms	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, or date of termination, whichever sooner.		CP6 forms for employees who are seeking Capitol access with their employee badges. Forms are submitted to DPS.	



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RP-1	1.1	TexasSure Program Management	Includes insurer compliance correspondence, related data, communications, delegation agreements, transitory information, and other documents related to division program management.	AV							
RP-2		Division Posting Packets	Job description templates, job posting templates, rating criteria templates, classification matrices, tests, and other material and general information related to division job postings.	US						This does not include items in RSIN 3.1.023 maintained by Human Resources.	
RP-3	2.2	Network Security	Documentation relating to network access levels for division staff.	US							
RP-4	1.1	Operations Tracking Files	Various files used to track personnel related actions and information.	AV							
RP-5		Engineer Oversight Files	Shop Drawings, Pictures, Inspection Reports, Product Evaluation Reports, Test Reports, Plans, and Correspondence.	AC	10			AC = Oversight inspection completed.		Paper.	Texas Insurance Code, Sections 2210.251.
RP-6		Product Evaluations	Product Evaluation Reports, Test Reports, Product Drawings, Manufacturer Labels, Certification Documents, Fastener Analysis, and general correspondence.	AC				AC = Life of any structure on which the product was used.		Paper.	



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RP-7		Appointed Qualified Inspector Files	Application for Appointment as a Qualified Inspector, Renewal Application for Appointment as a Qualified Inspector, Contact Information Update Request.	AC	3			AC = After three renewal cycles.		Paper.	Texas Insurance Code, Sections 2210.254, 2210.255 and Texas Administrative Code, Title 28, Sections 5.4609, 5.4610, 5.4612, 5.4615
RP-8		Inspection Files	Application for Windstorm Inspection Certificate of Compliance (WPI-1), Inspection Verification Forms (WPI-2-BC-1, WPI-2-BC-2, WPI-2-BC-3, WPI-2-BC-4, WPI-2-BC-5, WPI-2-BC-6, and WPI-7), Application Status/Re-Print of Certificate of Compliance (WPI-8), Correspondence - General (Correspondence from intake to the appointed qualified inspector to clarify or confirm inspection information).	AC				AC = Life of structure.		Paper, Electronic.	Texas Insurance Code, Sections 2210.251 and 2210.2515; Texas Administrative Code, Title 28, Sections 5.4603, 5.4621, 5.4621, and 5.4623.
RP-9		Amusement Ride Files	Amusement Ride Certificate of Inspection/Reinspection and photos, Amusement Ride Schedule of Operations in Texas, General Liability Certificates of Liability, Filing Fees and CARS.	AC	3			AC =Date received.		Paper, Electronic (tracked in Access database).	Amusement Rides-Texas Occupations Code, Chapter 2151 and Texas Administrative Code, Title 28, Sections 5.9004-5.9014.



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RP-10		Loss Control Inspection Files	Company Loss Control Files, Required inspection components, Company Information, Pre-inspection Correspondence, Inspection Correspondence, Commercial Automobile Liability Loss Control Information Worksheets, General Liability Loss Control Information Worksheets, Professional Liability and Medical Professional for Hospitals Loss Control Information Worksheets, Qualification of Loss Control Representatives (LCRs) - Form 2.	AC	5			AC = Inspection Date.		Paper, Electronic (tracked in Access database).	Texas Insurance Code, Sections 1952.058, 1903.003, and 1903.051, and Texas Administrative Code, Title 28, Sections 5.301-5.311, 5.1701-5.1713, and 5.1721-5.1731.
RP-11		Loss Control Forms	Loss Control Presentation Outline (Commercial Automobile/General Liability/Professional Liability for Insureds other than Hospitals), Loss Control Presentation Outline (Medical Professional Liability), Loss Control Presentation Outline(Professional Liability for Hospitals), Outline of a Minimum Plan for a Loss Control Program	US						Electronic published on website: http://www.tdi.texas.gov/forms/form13losscontrol.html .	
RP-12		Loss Control Appointment Applications	Loss Control Representative Qualification Review, Field Safety Representative with a Specialty in Hospitals Qualification Review.	AC	5			AC = Receipt date of the appointment application.		Electronic retention is until superseded; paper retention is five years after receipt.	Texas Administrative Code, Title 28, Sections 5.1701, 5.311, 5.1731.



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RP-13		Quarterly Amusement Ride Reports	Amusement Ride Safety Inspection and Insurance Act - Quarterly Injury Report and Quarterly Government Action Report.	AC	3			AC = Date received.		Paper/Electronic.	Texas Administrative Code, Title 28, Sections 5.9001 - 5.9014.
RP-14		Voluntary Inspection Program (VIP) Records	Includes VIP Application (electronic and paper copies), VIP Renewal Application, information recorded in an excel spreadsheet; Water Damage Remediation (WDR) Certificate, VIP-1 Form, VIP-2 Form, VIP Annual Fee Increase Form, and any other documents related to VIP.	US						Paper/Electronic.	Texas Administrative Code, Title 28, Section 5.3800.
RP-15		Property and Casualty Form and Rate Filings	Includes rates, rules, credit scoring models, forms, certificates of insurance, underwriting guidelines, and related information filed with TDI by property and casualty insurers.	AC	10			AC = Date filing closed.		For rates, rules, credit scoring models, forms, certificates of insurance, and underwriting guidelines: paper & electronic. Destroy paper after scanned. Retain scanned image 10 years. Includes files in Track/Visiflow.	Texas Insurance Code, Chapters 2053, 2251, 3502; Texas Insurance Code, Chapter 559; Texas Insurance Code, Chapters 2301, 3502, 2251, 2052; Texas Insurance Code, Chapter 1811; Texas Insurance Code, Chapter 2053, and Sections 38.002,



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RP-16		Internal Market Analysis	PC Actuarial internal market analyses, including average rate increase reports, market share reports, and other market analyses primarily used for internal purposes.	AV	3						
RP-17		Uncontested Title Rate Hearings	Written materials presented by witnesses at title insurance rate hearings described in Texas Insurance Code §2703.202(c).		12						Texas Insurance Code, Chapter 2703 and 2751.
RP-18	1.1.067	Published property and casualty reports and studies (non-fiscal)	PC Actuarial reports, studies, and market analyses published by TDI or otherwise generally distributed outside TDI. Includes all data call or statistical reports TDI publishes on its website (Annual Legislative Report, Title Agent, Title Underwriter reports, reports or studies presented to the Legislature), other than HelpInsure data.	AV	3				R	Retention for this record series is 3 years unless management determines there is a need to retain longer for administrative value.	Texas Insurance Code, Sections 38.001, 38.151-38.163 (repealed eff. 1/1/2016), 2053.051, 2251.002(1), 2251.008, and 2703.153.



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RP-19	1.1.065	Reports and Studies (non-Fiscal - Raw Data Property and Casualty (P&C))	Information or data collected and compiled for the purpose of producing published non-fiscal reports and studies about property and casualty insurance and related programs, other than helpinsure data. It specifically includes data compilations of statistical plan data produced by TDI's statistical agents and provided to TDI, whether or not used for published reports or studies. It specifically includes raw data and related correspondence on all data calls issued by P&C Actuarial, Data Services.	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.	Texas Insurance Code, Sections 38.001, 38.151-38.163 (repealed eff. 1/1/2016), 38.201-38.207, 2053.101-2053.103, 2210.052(b), 2210.358, 2251.002(1), 2251.008, and 2703.153; Texas Insurance Code, Article 5.96.
RP-20		Statistical Plan Revisions	Superseded statistical plans and marked up copies of statistical plans showing revisions from prior statistical plans. Applies to all property and casualty, and title statistical plans.	AV							Texas Insurance Code, Sections 38.201-38.207, 2053.101-2053.103, and 2703.153; Texas Insurance Code, Article 5.96
RP-21	1.1.065	Helpinsure Data Call	Company responses to TDI's Helpinsure Data Call.	AV							
RP-22		Advisory Organization Filings	Policy forms, endorsements, manual rules, rate, and rate/rule filings from advisory organizations.	AV						Paper and electronic.	Texas Insurance Code, Chapters 2301, 3502, 2251, and 2052.



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RP-23	1.1.065	Residual Market Reports	Texas Windstorm Insurance Association (TWIA) and Fair Access to Insurance Requirements (FAIR) Plan Overviews and related documents, residual insurer liability reports, Catastrophe Reserve Trust Fund (CRTF) monthly reports.	AV						Includes Overviews.	Texas Administrative Code, Title 28, Chapter 5, Subchapters E and T.
RP-24	1.1.070	Historical Manuals	Commercial Property Rating Manual, Inland Marine Manual, ISO Classification Manual, Title Basic Manual, Promulgated Forms and Homeowners Manual, Texas Personal Lines Manual; Promulgated Auto Manual; Workers' Compensation Historical Manuals.	PM					R	Used for research purposes and to answer inquiries.	
RP-25	1.3.001	General Casualty Bulletins	Directives to companies regarding various property and casualty issues; includes Workers' Compensation Circular Letters/Bulletins.	AC	2			AC = Until superseded or obsolete		Applies to General Casualty Bulletins; still use for research so some AV if necessary.	
RP-26	1.3.001	Title Bulletins	Directives to companies regarding various title issues.	PM							
RP-27		Title Insurance Records	Subject files, department memos, and decisions related to title insurance issues.	AV							



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					Years	Months	Days				
RP-28		Appraisal Umpire and Mediator Rosters; Applications	Lists of approved umpires and mediators, applications, registrations, and related documents.	AC	3			AC = After Appointment Expires.			Texas Insurance Code, Sections 2210.574 and 2210.575; Texas Administrative Code, Title 28, Chapter 5, Subchapter E, Division 4.
RP-29		Appraisal Umpire and Mediator Requests	Requests for appraisal umpire and mediator appointments and related information on claim disputes with the Texas Windstorm Insurance Association.	AV							Texas Insurance Code, Sections 2210.574 and 2210.575; Texas Administrative Code, Title 28, Chapter 5, Subchapter E, Division 4.
RP-30		180-Day Extension Requests	Consumer requests and related documents to extend the Texas Windstorm Insurance Association's claim filing deadline.	AV							Texas Insurance Code, Section 2210.205; Texas Administrative Code, Title 28, Section 5.4202.



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					Years	Months	Days				
RP-31		Notice of Election Forms (Retro)	Forms that are submitted by the insurance carrier to TDI when policyholders are retrospectively rated.	AC	10			AC = After Approved.		Agency until AC; storage for 10 years. Paper/Microfilm. Paper destroyed after filmed. Stored at Records Center.	NCCI Retrospective Rating Plan Manual with Texas Exceptions.
RP-32		Group Purchase (Active)	Plan of Operation, applications, renewal applications, and any related reports for groups that are active in the Group Purchase Plan.	AV						Paper	Rule-NCCI Basic Manual w/Texas Exceptions.
RP-33		Group Purchase (Inactive and Withdrawn)	Plan of Operation, applications, renewal applications, and any related reports for groups that are no longer active in the Group Purchase Plan.	AC	2			AC = Group Inactivated or Submission Withdrawn.		Paper	Rule-NCCI Basic Manual w/Texas Exceptions.
RP-34		Workers' Compensation Rate Guide	Publication that includes rate factors filed by the insurance companies to assist consumers in comparison shopping for workers' compensation coverage.	AC	4			AC = Publish Date.			Texas Insurance Code, Section 2053.003, Rate Filing and Supporting Information.



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					Years	Months	Days				
RP-35	1.1.067	Life and Health Reports and Studies (Non-Fiscal)	Annual, sub-annual, or special reports or studies on life and health insurance and related programs and services, or projects compiled by TDI staff, by advisory committees, or by consultants under contract with TDI that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities. Includes Annual Small Employer Health Benefit Plan Report, Credit Life and Credit Accident and Health Data Call, Healthcare Reimbursement Rate Report, Long-Term Care Reports, and other related life and health reports.	AV	3				R	Division maintains the electronic version to respond to inquiries from industry, consumers, TDI staff, and legislators.	Texas Administrative Code, Title 28, Sections 3.3837(a)(2), (b), (c)(2), (e), 3.3874(b)(6)(B), 3.5701, 3.5702, and 26.20, and Chapter 21, Subchapter KK; Texas Insurance Code, Section 1153.106, Chapter 38, Subchapter H and Chapters 1551, 1575, 1579, 1601.



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					Years	Months	Days				
RP-36	1.1.065	Life and Health Reports and Studies (Non-Fiscal) - Raw Data	Information or data collected and compiled for the purpose of producing non-fiscal reports about life and health insurance and related programs and services. Includes Consumer Choice Health Benefit Plans Data Certification and Consumer Information Database, Mandated Benefits Call and related databases, Children's Health Survey responses, Chemotherapy Survey for Insurance Companies and Health Maintenance Organizations (HMO), Pharmacy Benefit Manager Surveys databases, Retained Asset Accounts survey, Figure 48 database, Figure 2 database, LHL 563 and 564 data and analysis, LHL 564 Group analysis, LHL 565 Analysis, and other related life and health data.	AV						Some unaggregated data is deemed confidential by TIC 38.356. Some data collection efforts are no longer active but the data is maintained for historical and research purposes.	Texas Administrative Code, Title 28, Section 21.3544; Texas Administrative Code, Title 28, Sections 21.3401-21.3409.
RP-37		Life and Health Form and Rate Filings	Includes rates, forms, correspondence, and related information filed with TDI by life and health insurers. Filings are submitted for review and approval, or for information.	PM						Microfilm and electronic copies (SERFF/SIRCON, Image Viewer).	Texas Insurance Code, Sections 1701.051 and 1271.101.



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RP-38		Life and Health Form Review Standards - Checklists	Checklists are used by TDI to document the review of life and health forms and actuarial material; used by industry to assist in the drafting of life and health insurance forms.	PM							
RP-39	1.1.070	Current Manuals	Title Basic Manual	AC	3			AC = Until superseded or obsolete, and management determines that is no administrative value.	R	Stored in division office area.	
FM-1	1.1.070	Rules and Regulations - Fire Extinguishers, Fire Sprinklers, Fireworks, Fire Alarms	Manuals and guidelines related to fire extinguishers, fire sprinklers, fireworks, and fire alarms.	AC	3			AC = Completion or termination of program, rules, policies, or procedures, or until superseded.	R		
FM-2		Capitol Building Fire Safety Inspection Case Files	Inspection reports specifically for Capitol Complex.	PM						Complete historical record needed to show what changes and updates have been made. Medium is paper and photographs.	Texas Government Code, Sections 417.0081, 417.0082, and 443.012.
FM-3	5.4.003	Fire Marshal's Case Files	Building inspection reports for fire safety inspection and flammable liquids leak investigation files. Can contain narrative, corrective actions, photographs, audio/visuals, and correspondence.	AC	3			AC = After inspection is complete and closed by deputy.			Texas Government Code, Section 417.008.



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FM-4		Fire and Arson Investigation Case Files	Reports of fire investigated by State Fire Marshal's Office (SFMO); contains narrative, origin and cause, and supporting documentation. Con contain narrative, corrective actions, photographs, audio/visuals, and correspondence.	AC	12			AC = After inspection is complete and closed by deputy.		10 years at agency, 2 years in storage. Subject to legal review.	
FM-5		Fire and Arson Investigation Case Files - With Fatalities	Reports of fire involving a fatality that are investigated by SFMO; contains narrative, origin and cause, and supporting documentation. Con contain narrative, corrective actions, photographs, audio/visuals, and correspondence.	PM						Subject to legal review.	
FM-6		Arson Hot Line Files	Record of information submitted to arson hotline. Can contain narrative, corrective actions, photographs, audio/visuals, and correspondence.	AC	3			AC = No further activity is necessary.			
FM-7		Fireworks Licensing Inspections	Inspection reports specifically for fireworks retailers and fireworks stands.	CE	2						
FM-8		SFMO Licensing Case Files - Unfounded	Closed licensing cases without further action.	AC	1			AC = After investigation complete.			
FM-9		SFMO Licensing Case Files - Founded	Case files for licensing investigations that lead to some sort of administrative action; can contain warning, notice of violations, or description of administrative penalty.	AC	3			AC = After investigation complete.			



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					Years	Months	Days				
FM-10		SFMO Licensing Case Files - Legal Action	Case files for licensing investigations that lead to legal action, not just administrative order by SFMO; goes to TDI legal for a hearing.	AC	5			AC = After investigation complete.			
FM-11		DPS Request List	Log of audits on licenses and permits granted by SFMO that were audited by DPS.	US							
FM-12		Annexation - City Maps	Maps on file of cities and their annexation areas. Used to determine PPC rates.		2					PPC Oversight.	
FM-13		PPC Fire Rates	Current PPC rates, the fire protection number assigned to each city in Texas.	US	3					PPC Oversight.	
FM-14	2.1.002	SFMO Licensing Database	Electronic database containing all licensing administration records, including initial applications, renewal application, individual and company license information, and permits.	AC	3			AC = After license expired, terminated, or renewed.			
FM-15	3.1.026	Criminal History Review	Notifications received daily on individuals that have had fingerprinting for upcoming renewals or new licenses. We review the record by going into DPS website.	AC				AC = The criminal history record has served the immediate purpose for which it was obtained.		Security - subject to legal review. 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.	
FM-16		Expired Insurance List	A list generated showing companies that currently have expired insurance.	CE	3					Medium - Computer printout & electronic.	



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: 454		2. Agency Name: Texas Department of Insurance									
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				
FM-17	2.1.002	TEXFIRS Database	Electronic database of all TEXFIRS data, reports, and related information.	PM						See agency item numbers AR-48 and AR-49.	