

December 27, 2019



Staff Services Coordinator
Maria D. Lagunas
Texas State Board of Public Accountancy – 457
333 Guadalupe, Suite 900, Tower III
Austin, TX 78701

Dear Maria D. Lagunas,

Your agency's records retention schedule is approved for use as of **11/6/2019**, and may be accessed on our website at <https://www.tsl.texas.gov/slrms/state/schedules>. Please ensure that all old copies of the schedule are superseded with this certified copy.

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

Each agency schedule must be reviewed, updated and submitted for recertification 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 2024**.

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

Maria Freed
512-475-5194
mfreed@tsl.texas.gov

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

Sincerely,

A handwritten signature in black ink, appearing to be "CK", written over a white background.

Craig Kelso
Director and State Records Administrator

cc: Agency head

Lorenzo de Zavala
State Archives and
Library Building

1201 Brazos Street
Austin, Texas
78701

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

www.tsl.texas.gov

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TSLAC

Preserving yesterday
Informing today
Inspiring tomorrow



STATE OF TEXAS
Records Retention Schedule Certification

SLR 105C

Form SLR 105 or SLR 122 must accompany all submissions of this form.

Section 1. Agency Information

(Submitting agencies complete this section only)

Agency Code 457
 Agency Name TEXAS STATE BOARD OF PUBLIC ACCOUNTANCY

(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) WILLIAM TREACY
 Date 01/05/2018

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 _____
 Name (Print or type) _____
 Date _____

Not Required at This Time

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

Signature
 Name (Print or type) Gloria Meior
 Date 11/01/19

Cert/Recert No. 8 Amendment No. _____

CAUTION

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

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



Records Retention Schedule

1. Agency Code: 457			2. Agency Name: Texas State Board of Public Accountancy								
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				
ACCOUNTING DIVISION											
14.001	1.1.002	AUDITS - INTERNAL	Audits and reviews performed by or on behalf of an agency, including the working papers that support the audit. Also includes audits performed on the agency.	AC	7			AC = Publication or release of final audit findings.		The record copy of any audit performed by the State Auditor's Office is retained permanently by that agency.	
14.003	1.1.007	ADMINISTRATIVE CORRESPONDENCE	ACCOUNTING ISSUES Incoming/outgoing and internal correspondence pertaining to the formulation, planning, implementation, interpretation, modification, or redefinition of the programs, services, or projects of an agency and the administrative regulations, policies, and procedures that govern them.		4				R	Archives note: Only the administrative correspondence of executive staff, board or commission members, division directors and program heads require archival review. Contact the State Archives when these records have met their retention periods.	
14.004	1.1.002	REPORTS - AUDITS FROM STATE AUDITOR'S OFFICE	Audits and reviews performed by or on behalf of an agency, including the working papers that support the audit. Also includes audits performed on the agency.	AC	7			AC = Publication or release a final audit findings.		The record copy of any audit performed by the State Auditor's Office is retained permanently by that agency.	
14.048	1.1.064	AGENCY PERFORMANCE MEASURES DOCUMENTATION	Any records of an agency needed for the documentation of output, outcome, efficiency, and explanatory measures in an agency's appropriations request or strategic plan, and for performance measures used to manage the agency.	FE	3					Caution: The FE +3 retention period overrides any shorter retention period for a record series and this schedule if the record series is needed for documentation of agency performance measures.	

Retention Codes (field 7)

AC – See event trigger 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

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A/I – Transfer to State/University Archivist
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14.050	1.1.066	Reports-Biennial or Annual Agency (Narrative)	Biennial narrative reports to the governor and legislature as required by an agency's enabling statutes, including annual narrative reports if they are required by statute.	AC	6			AC= September 1 of odd-numbered calendar years.	A	ARCHIVES NOTE: The archival requirement is met by sending the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission.	
14.005	1.1.068	PERFORMANCE AND MANAGEMENT REPORTS TO THE LEGISLATURE	ALONG WITH AUTOMATED BUDGET AND EVALUATION SYSTEM OF TEXAS (ABEST) AND UNIFORM STATEWIDE ACCOUNTING SYSTEM (USAS) RECONCILIATIONS.	PM				AC = September 1 of odd-numbered calendar years.		Agency retains permanent record copy and sends required copies to Texas State Publications Depository Program, Texas State Library and Archives Commission.	
14.060	1.1.074	Sunset Review Report and Documentation		AC	4			AC= After the subsequent Sunset Review.	R		
14.061	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 attachment.	AC	4			AC= After termination of employee or after amendment, expiration, or termination of authorization, whichever sooner.			
14.006	3.2.003	FEDERAL TAX RECORDS	Includes 1009, W2, FICA, and other tax records.	AC	4			AC = tax due date, date claim is filed, or date tax is paid whichever is later.			26 CFR 31.6001 - 1 (e) (2).
14.007	3.2.005	W - 4 FORMS		AC	4			AC = Until superseded, obsolete, or upon separation of employee.			26 CFR 31.6001- (e)(2).
14.059	3.2.007	UNEMPLOYMENT COMPENSATION RECORDS		AC	5			AC = After closed.			

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14.008	3.2.008	DIRECT DEPOSIT APPLICATIONS/ AUTHORIZATIONS		US							
14.009	3.2.010	HRIS Reports and Documentation	HRIS=Human Resources Information System	AC	4			AC=After closed.			
14.010	4.1.001	Accounts Payable Information		FE	3						
14.011	4.1.002	Billing Detail		FE	3					Caution: Does not include long distance telephone billing detail. See item numbers 5.5.001, 5.5.006, and 5.5.007.	
14.012	4.1.003	Cancelled Checks/Stubs/Warrants		FE	3						
14.013	4.1.004	Encumbrance Detail		FE	3						
14.014	4.1.007	Transmittal of Funds/Cost Center Transfers		FE	3						
14.049	4.1.008	Direct Deposit Registers		FE	3						
14.015	4.2.001	Cash Deposit Vouchers		FE	3						
14.016	4.2.005	Purchase Vouchers	Including invoice/statements.	FE	3						
14.017	4.2.005	Requisition/Purchase Orders		FE	3						
14.018	4.2.006	General Journal Vouchers		FE	3						
14.019	4.2.007	Expenditure Vouchers	Travel/Payroll	FE	3						
14.020	4.3.002	Posted Transaction Register	Receipts	FE	3						
14.021	4.3.003	Posted Transaction Register	Expenditure	FE	3						

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					Years	Months	Days				
14.022	4.4.001	General Ledger		FE	3						
14.058	4.4.002	Fines Receivable Assessed by Enforcement Division		FE	3						
14.023	4.4.004	Employee Savings Bond Ledger		FE	3						
14.024	4.5.001	Worksheets for Preparing Fiscal Reports	Monthly folders -- incoming/outgoing accounting entries may include insufficient funds, savings, retirement, etc.	FE	3						
14.025	4.5.002	Internal Fiscal Management Reports		FE	3					Includes Comptroller's Object Detail Report	
14.026	4.5.003	Annual Financial Report		AC	6			AC=September 1 of odd numbered years.		Agency retains record copy and sends required copies to the Texas Publications Depository Program, Texas State Library and Archives Commission.	
14.051	4.5.007	USAS Reports	Daily	AC				AC=Receipt and reconciliation of monthly report			
14.052	4.5.008	USAS Reports	Monthly	AC				AC=Receipt and reconciliation of monthly report			
14.053	4.5.009	USAS Reports	Annual	FE	3						
14.028	4.6.002	Reconciliations	Appropriated agency funds.	FE	3						
14.030	4.7.001	Accounting Policies & Procedures Manual		US	3						
14.031	4.7.002	Bank Statements	Travel advance	FE	3						
14.032	4.7.003	Returned Checks	Uncollectible	AC	3			AC=After deemed uncollectible			

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14.054	5.3.008	Purchasing Logs	List of requisition numbers	FE	3						
14.033	4.7.006	Comptroller Statements	For verification purposes	FE	3						
14.034	4.7.009	Detail Inventory Log		US	3						
14.055	4.7.012	Signature Authorizations		AC	3			AC = US + FE			
14.035	5.2.009	Year to Date Activity - Inventory Listing	Shows additions, changes, transfers, and deletions of information within the inventory system. Agency date by division, tag number, description, etc.	FE	3						
14.036	5.2.014	Inventory, Annual Physical	Property, equipment, supply verification	FE	3						
14.037	5.2.015	Notice of Equipment Removed from Inventory		FE	3						
14.038	5.2.017	Lost and Stolen Property Report		FE	3						
14.039	5.2.021	Surplus Property Sales Reports		FE	3						
14.040	3.4.002	Employee Leave Status Reports	Summary breakdown and individual balances, sick leave pool, overtime, comp time, leave requests and authorization, etc.	FE	3					3.4.004 – Overtime authorizations 3.4.005 – Overtime schedules 3.4.007 – Time Off/and or Sick Leave Requests	
14.062	3.4.007	Time Off &/or Sick Leave Requests		FE	3						
14.041	3.2.002	Employee Earning Records			4						40 TAC 815.106(i)

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					Years	Months	Days				
14.042	1.1.013	Desk Calendars/Appointment Books		CE	1				R	Archives note: Only the calendars, appt. 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.	
14.043	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 is met by sending required copies to the Texas Publications Depository Program, Texas State Library and Archives Commission.	
14.044	1.1.057	Transitory Information		AC				AC=Purpose of Record has been met			
14.045	3.3.022	Texas Workforce Commission (TWC) Reports			3						
14.046	4.5.006	Annual Operating Budgets		FE	3						
14.047	5.5.001	Billing Detail-Telecommunications (Other than TEX-AN)		FE	3						
14.056	5.5.006	Billing Detail-Telecommunications (TEX-AN)		FE	3						

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					Years	Months	Days				
ADMINISTRATION DIVISION											
10.110	1.1	Policy Development Information/Materials	Related to administrative issues, i.e. Drug Policy	AV							
10.117	1.1.007	Administrative Correspondence	Board members Incoming/outgoing and internal correspondence pertaining to the formulation, planning, implementation, interpretation, modification, or redefinition of the programs, services, or projects of an agency and the administrative regulations, policies, and procedures that govern them.		4				R	Archives note: Only the administrative correspondence of executive staff, board or commission members, division directors and program heads require archival review. Contact the State Archives when these records have met their retention periods.	
10.118	1.1.008	General Correspondence	Non-administrative incoming/outgoing and internal correspondence, in any media, pertaining to or arising from the routine operations of the policies, programs, services, or projects of an agency.		2						
10.129	1.1.013	Desk Calendars/Appointment Books		CE	1				R	Archives note: Only the calendars, appt. 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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10.111	1.1.014	Legal Opinions-Attorney General	Related to personnel, health and administrative issues, may include primarily convenience copies.	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.	
10.115	1.1.053	Agency Visitor Registration Log		AC				AC = Report filed with Texas Ethics Commission.			
10.130	1.1.057	Transitory Information		AC				AC=Purpose of record has been fulfilled.			
10.125	1.2.005	Records Retention Schedule	Agency copy	US						Original retained by Records Management Division, Texas State Library	
10.131	1.2.001	Destruction Sign-Offs - Agency Level Documents		FE	3						
10.126	1.2.006	Records Transmittal forms RMD 101	Copies for all divisions	AC	2			AC=Date of authorization for destruction, permanent transfer from storage, or transfer to the Archives and Information Services Division, Texas State Library and Archives Commission by the agency Record Management Officer.			
10.128	1.2.008	Request for Authority to dispose records	Individual record copies for each division	FE	3					Original retained permanently by Records Management Division, Texas State Library.	
10.121	1.2.010	Agency records Disposal Log	Lists of records disposed in each division		10						

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					Years	Months	Days				
10.122	1.2.011	Records Center Storage Approval Forms (RMD106)	Individual record copies for each division	US							
10.310	3.1	Employee Personnel Files	(Includes: performance appraisals, personnel action forms, training and educational achievement records, applications/resumes, employment screening/testing. Verification of Citizenship federal reporting from INS I- 9, personnel corrective disciplinary action documentation, employee counseling records and/or information on employment status pay, position, transfer evaluation, leave of absence, job classification, and number, employee awards/incentives, grievance records, etc.)	AC	7			AC = Termination of Employment		3.1.019-Performance appraisals 3.1.020-Persooneel action 3.1.027-Training and educational achievement 3.1.002-Applications/resumes 3.1.014-Screening/testing 3.1.029-I-9 3.1.006-Employee counseling records 3.1.020-Grievance records 3.1.021-Personnel corrective disciplinary action documentation 3.1.022-Position Description 3.1.037-Employee awards/incentives 3.4.007-Leave Requests 3.2.001-Pay	
10.311	3.1.001	Non Hired applicants	Includes: resumes, employment screening, etc.		2						29 CFR 1602.31 (State agencies)
10.333	3.1.012	Employment Opportunity Announcements			2						29 CFR 1602.31
10.334	3.1.014	Employment Selection Records			2						29 CFR 1602.31
10.335	3.1.023	Position/Job Descriptions		AC	4			AC=Until superseded or job eliminated.			40 TAC 815.106(i)

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10.318	3.3.031	EEO-4 Reports			3						29 CFR 1602.32, 39, 41, 48 & 50
10.312	3.1.011	Employee and Board Members insurance Files		AC				AC=Until superseded or termination of employment			
10.317	5.4.001	First Report of Alleged Accident or Occupational Disease		CE	5					TDI retains copies of reports submitted for 50 years.	29 CFR 1904.33
10.313	3.1.027	Employee Training records	Agency wide	AC	5			AC=Termination of Employment			
10.336	3.1.037	Employee Recognition Records		AC	5			AC=Termination of Employment			
10.337	3.1.038	Public Access Option Form		US						See Item #3.3.011	
10.329	3.2.009	State Deferred Compensation		AC	5			AC=all accounts with a vendor or vendors for the individual participant have been closed.			
10.331	3.3.011	Former Employee Verification Records		AC	75			AC=Termination of Employment			
10.338	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 which the expenses of the employee are defrayed or reimbursed.	FE	3						
10.332	3.3.026	Summary Staffing Report	Organizational charts, etc. Quarterly FTE Reports to State Auditor	US	3						
10.455	4.5.005	External Fiscal Reports		FE	3					Special Purpose - HUB Reports	

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10.511	5.1.001	Contracts and Leases	Leases, agreements, specifications, bib solicitation, office plans/space	AC	7			AC = Expiration or termination of the instrument according to its terms.			
10.514	5.1.004	Mail and Telecommunications Listings		US							
10.515	5.1.005	Postage Expense Reports	Purchase of postage and bulk rate postage.	FE	3						
10.516	5.1.005	Postage Meter Records	Performance versus Budget Analysis Report from the Comptroller of Public Accounts.	FE	3						
10.549	5.1.011	Photocopier and Telefax Usage Logs & Reports		AV							
10.550	5.1.014	Office Procedures - Internal Manual/Guidelines		US	1						
10.519	5.4.012	Security Access Records	Issuance of keys, identification cards, building passes, passwords.	AC	2			AC = Until superseded, date of expiration or date of termination, which ever is sooner.			
10.528	5.2.008	Equipment History File; equipment service agreements or contracts	Includes requests for installation, moves, service/repair, logbooks, copiers, telephones, faxes, etc.	LA	3						
10.548	5.2.027	Space Utilization Reports		AV							
10.541	5.4.001	Accident Report - Individual	Worker's Compensation	CE	5					TDI retains copies of reports submitted to it for 5 years.	29 CFR 1094.33

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10.56	5.6.003	Inspection, Repair and maintenance records - vehicles.		LA	1						
10.551	5.6.005	Mileage Reports		FE	3						
10.552	5.6.007	Vehicle Titles and Registration		LA							
10.553	5.6.009	Parking Permits or Assignments		US							

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			CONTINUING PROFESSIONAL EDUCATION DIVISION								
20.002		Continuing Professional Education Complaints	Active, suspended, closed	AC	50			AC=After file closed.		Retention for Life Span of CPA (per General Counsel)	
20.004		Sponsor Agreement Registration and Renewal		FE	3						
20.010		Suspended Continuing Professional Education Complaints		AC	10			AC = After microfiche or scanned.		Master - SRC. Duplicate - Agency	
20.012		Licensee/CPE/Peer Review Committee Agenda		FE	23				A		
20.013		Continuing Professional Education Discrepancy Report		FE						Stored at Agency	
20.014		Continuing Professional Education Non-compliance Report		FE	1					Stored at Agency	
20.015		Continuing Professional Education Compliant List		FE	1					Stored at Agency	
20.016		Active Sponsor List		FE	1					Stored at Agency	
20.017	1.1.002	Audits on CPA's Continuing Professional Education	Audits and reviews performed by or on behalf of an agency, including the working papers that support the audit. Also includes audits performed on the agency.	AC	7			AC=After Audit Completed.			

Retention Codes (field 7)

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Archival Codes (Field 10)

A/I – Transfer to State/University Archivist

R/O – Review by State/University Archivist

Records Retention Schedule

1. Agency Code: 457		2. Agency Name: Texas State Board of Public Accountancy									
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				
20.018	1.1.013	Desk Calendars/Appointment Books		CE	1				R	Archives note: only 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				
			LICENSING DIVISION								
21.047	1.1.057	Transitory Information		AC				AC=Purpose of record has been fulfilled.			
21.001		License Notices		FE	4						
21.002		Temporary Permit Applications			20					Stored at Agency	
21.003		Partnership and Corporation Applications		PM						Permanent Storage at Agency	
21.009	1.1	Historical Licensee Data	May include: License, transcripts fingerprints, CPA history, status, address changes, request for an abatement of fees and/or penalties, ethics, replacement certificate requests, registered reciprocal applications, correspondence, applications, etc.	AC	99			AC= After microfiche or scanned		Master - SRC. Duplicate - Agency	
21.011		New Certified Public Accountant Records		AC	99			AC= After Closed		Master - SRC. Duplicate - Agency	
21.049	1.1.013	Desk Calendars/Appointment Books		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's the state archives when these records have met their retention periods.	

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					Years	Months	Days				
21.016		Board History Book		PM					A	Original Master Copies. Permanent Storage at agency.	
21.017		Swearing-In Ceremony General Information	Invitations, programs, responses, etc.	PM					A	Stored at Agency	
21.018		Certificate Log Book	Issued/unissued	PM						Permanent Storage at Agency	
21.020		Surrendered Certificates		FE	1					Destroy after retention period.	
21.021		Sole Proprietorship Forms		PM						Permanent Storage at Agency	
21.022		Pending Reciprocal Applications		PM						Permanent Storage at Agency	
21.025		Rejected Reciprocal Applications		FE	1					Stored at Agency one year, denied and returned.	
21.026		Pending Section 901.355 applications	Certified Public Accountant(s) registered in another state or country requesting registration in Texas but do not meet the Texas requirements.	PM						Permanent Storage at Agency	
21.027		Registered Section 901.355 Applications		PM						Stored at Agency	
21.029		Delinquent Section 901.355 Applications			20					Stored at Agency	
21.031		Reciprocal Application Printout		PM						Stored at Agency	
21.032		Reinstatement for Other State Boards		CE						Destroy at beginning of each year.	
21.034		Substantial Equivalent			20					Stored at Agency	
21.037		1 Year Delinquent Report		FE	1					Stored at Agency	

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STATE OF TEXAS

Records Retention Schedule

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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				
21.038		Certificates Not In Good Standing		FE	1					Stored at Agency	
21.039		Licensing System Summary Report		FE	1				R	Stored at Agency	
21.040		Cancelled, Delinquent, Revoked License Report		FE	1				R	Stored at Agency	
21.041		Active License in Public Accounting, Corporation, Partnership Report		FE	1				A	Stored at Agency	
21.042		License Budget Report		PM					R	Permanent Storage at Agency.	
21.043		Firms Complaints - Closed		PM						Permanent Storage at Agency.	
21.044		Dissolved Sole Proprietor Registrations		AC	20			AC = After Resolved Date			
21.045		Dissolved Partnerships		AC	20			AC = After Resolved Date			
21.046		Dissolved Corporations		AC	20			AC = After Resolved Date			

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					Years	Months	Days				
			PEER REVIEW DIVISION								
32.110	1.1	Peer Review completion forms	Results of Peer Review	AV						Stored at agency. Retention for Life Span of CAP. (Per General Counsel)	
32.118	1.1	General Correspondence	Peer Review inquiries, exemptions, review dates, extension reports, etc.	AV						Stored at agency. Retention for Life Span of CAP. (Per General Counsel)	
32.119	1.1.013	Desk Calendars/Appointment Books		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. Office Questions, Section 901.160	
32.120	1.1.057	Transitory Information		AC				AC=Purpose of record has been fulfilled.			

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					Years	Months	Days				
QUALIFICATOINS DIVISION											
22.10	1.1	Certified Public Accountant (CPA) Qualifications Files	May include educational documents, notarize documents, background investigated information, ADA documents, name change documents, applications and supporting forms, work experience documents.	AC				AC = File is complete and the applicant has met all requirements and is registered as a CPA, then the file is transferred to Licensing.		Record destroyed after electronic imaging and verification.	
22.11	1.1	Lost Credit Report and Correspondence			4	6					
22.12	1.1	CPA Exam Vendor Information		AC				AC = After the final agreement with testing vendor.			
22.14	1.1	Request for Information, applications, forms, brochures		AC				AC = After information is provided to individual.			
22.16		Application of Intent			2					901.302	
22.17		CBT Developmental Document			10						
22.20	1.1	Exam Ledger Cards (1976-1980) and Screens for Code X Candidates (1980-1986)		AC	99			AC = After the file close.		Master - SRC. Duplicate - Agency. Return hardcopy to agency after microfilming.	
22.25	1.1	Review and Evaluation Status Sheets		AC				AC = After application is approved.			
22.31	1.1	Identification Card		AC				AC = Record destroyed upon termination of eligibility.		Record is not electronically imaged.	
22.50	1.1	Updates to contact information	May include changes to address, telephone number and email.	AC				AC = After change is made and confirmed on database.			

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					Years	Months	Days				
22.51	1.1	Transmittal Correspondence of fees, refunds, NSF, closed accounts.		FE	1						
22.52	1.1	Request for exam reviews		AC				AC=After review of exam.			
22.53	1.1	Score Report to Third Party		AC				AC=After score sent to employer or individual.			
22.54	1.1	Educational documents not associated with an applicant				6					
22.55	1.1	Information received not associated with an applicant				6					
22.60	1.1	CPA Exam IR process reports			2						
22.70	1.1.007	Correspondence - Administrative	Incoming/outgoing and internal correspondence pertaining to the formulation, planning, implementation, interpretation, modification, or redefinition of the programs, services, or projects of an agency and the administrative regulations, policies, and procedures that govern them.		4				R	Archives note: Only the administrative correspondence of executive staff, board or commission members, division directors and program heads require archival review. Contact the State Archives when these records have met their retention period.	

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					Years	Months	Days				
22.71	1.1.008	General Correspondence, Congratulatory Letters, Deficiency Letters	Non-administrative incoming/outgoing and internal correspondence, in any media, pertaining to or arising from the routine operations of the policies, programs, services, or projects of an agency.		2						
22.6	1.1	CPA Exam Data Processing Reports			1	6					
22.72	1.1.013	Desk Calendars/Appointment Books		CE	1				R	Archives note: Only the calendars, appointment's 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.	
22.73	1.1.057	Transitory Information		AC				AC=Purpose of Record has been fulfilled.			
22.74	1.1.065	CPA Exam Statistical Reports - Success Rates, etc.			9	6					
22.75		REFUND REQUEST CORRESPONDENCE		FE	3						
22.80	2.1.002	CPA Exam Final Reports			19	6					
22.90	1.1	Qualifications Committee Agenda/Reports			5						

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					Years	Months	Days				
22.91		SCHOLARSHIP PROGRAM CORRESPONDENCE - REQUESTS		FE	3						
22.92	1.1.058	SCHOLARSHIP COMMITTEE - AGENDA, MINUTES		PM					A	Archival Note: Agency retains permanent copy. The archival requirement will be met by sending a copy to the Archives and Information Services Division, Texas State Library and Archives Commission.	
22.93	1.1.065	SCHOLARSHIP PROGRAM REPORTS - YEAR AND REPORTS, STATISTICAL		FE	3						
22.94		SCHOLARSHIP TRANSFERRED FUNDS		FE	3						
22.95		SCHOLARSHIP RELEASED FUNDS		FE	3						
22.96		SCHOLARSHIP FUNDS PAID OUT		FE	3						
22.97		SCHOLARSHIP CONTACTS AND UPDATES		FE	3						
22.98		SCHOLARSHIP PARTICIPATION AGREEMENTS		AC	3			AC = end of the award year.			
22.99	1.1.070	SCHOLARSHIP PROGRAM MANUAL		AC	3			AC = Completion or termination of program or rules.	R		

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					Years	Months	Days				
ENFORCEMENT DIVISION											
30.001	1.1.006	Complaint Files	Licenses; individuals, firms, partnership, corporation, etc.	AC	51			AC=Final disposition of the complaint		Legal documents - restricted access. Retention for Life Span of CPA	
30.002	1.1.006	Complaint Files	Non-licenses-Section 8 violations	AC	3			AC=Final disposition of the complaint.			
30.003	1.1.007	Correspondence - Administrative	Incoming/outgoing and internal correspondence pertaining to the formulation, planning, implementation, interpretation, modification, or redefinition of the programs, services, or projects of an agency and the administrative regulations, policies, and procedures that govern them.		4				R	Archives note: Only the administrative correspondence of executive staff, board or commission members, division directors and program heads require archival review. Contact the State Archives when these records have met their retention period.	
30.004	1.1.008	Correspondence - General	Non-administrative incoming/outgoing and internal correspondence, in any media, pertaining to or arising from the routine operations of the policies, programs, services, or projects of an agency.		2						
30.005	5.1.015	Correspondence Tracking Records	Backup in case of litigation		1						

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					Years	Months	Days				
30.006	1.1.073	Administrative Hearings	Transcripts and final decisions of hearings conducted as part of the regulatory process, and hearings on proposed rules and changes. The records may be maintained with related information including meeting notices, proofs of publication, and meeting minutes.	AC	6			AC=Last action	R		
30.007	1.1.048	Litigation Files		AC	16			AC = after file is close.	R	Legal documents - restricted access. Review before disposal, some cases that set legal precedents may merit a review by the State Archives for historical reasons.	
30.008	1.1.062	Committee Meetings - Support Documentation			2				A	Summaries and Reports of the Technical Standards Review, Behavioral Enforcement and Major Cases Committee meetings are incorporated into the monthly Board meeting agenda book as documentation.(Reference 1.1.052 Executive Division. Confidential records will be disposed of once purpose has been served.)	
30.009		Public Hearings		AC	16			AC=Completion of Hearing			

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					Years	Months	Days				
30.010	1.1.013	Desk Calendars/Appointment Books		CE	1				R	Archives note: Only the calendars, appointments 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.	
30.011	1.1.057	Transitory Information		AC				AC=Purpose of Record has been fulfilled.			
30.012	1.1.026	Texas Register Submissions		AC	1			AC=Date of Publication in Texas Register.			

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					Years	Months	Days				
			EXECUTIVE DIVISION								
1	5.1.004	Listings of names	Board/Committee Members, State Board Agencies in U.S., other government agencies, etc.	US							
2	1.1.007	Correspondence - Administrative	Incoming/outgoing and internal correspondence pertaining to the formulation, planning, implementation, interpretation, modification, or redefinition of the programs, services, or projects of an agency and the administrative regulations, policies, and procedures that govern them.		4				R	Archives note: Only the administrative correspondence of executive staff, board or commission members, division directors and program heads require archival review. Contact the State Archives when these records have met their retention periods.	
3	1.1.008	Correspondence - General	Non-administrative incoming/outgoing and internal correspondence, in any media, pertaining to or arising from the routine operations of the policies, programs, services, or projects of an agency.		2						
4	1.1.010	Directives	General administrative/office procedures	US	1						
5	1.1.011	Executive Orders	New/changes in agency policies, programs and/or procedures	US	3				A		

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					Years	Months	Days				
6	1.1.013	Desk Calendars/Appointment Books		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.	
7	1.1.014	Legal Opinions & Advice-Attorney General		AV					R		
8	1.1.057	Transitory Information		AC				AC = Purpose of record has been fulfilled.			
9	1.1.058	Meeting Minutes (Board/Committee)	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. Copy sent to Archives.	
10	1.1.020	Public Information Requests - Not Exempted	Includes all correspondence and documentation relating to requests for records that are furnished to the public under Public Information Act (Chapter 552, Government Code)	AC	1			AC = date request fulfilled.			
11	1.1.021	Public Information Requests - Exempted	Includes all correspondence and documentation relating to requests for records that are furnished to the public under Public Information Act (Chapter 552, Government Code)	AC	2			AC = date of denial of request/notification that records are exempt.			

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12	1.1.023	Organizational Charts	Agency	US					A		
13	1.1.070	Agency Rules, Policies, and Procedures - Final	Employee Personnel Manual, Internal Procedures, Affirmative Action, etc.	AC	3			AC = completion or termination of program, rules, policies, or procedures.	R	3.3.024	
22	1.1.071	Agency Rules, Polices, and Procedures Working Files		AC	3			AC = completion or termination of program, rules, policies or procedures.	R		
15	1.3.001	State Publications	Agency Record: Board History, Newsletters, etc.	AC	2			AC = After Published		Caution: Many state publications must be submitted to the Texas State Publications Depository Program, TSLAC, by law (Gov Code 441.101 - 441.106). The TSLAC will retain a copy of all state publications submitted to it on a continuing basis, subject to periodic evaluation to determine if the publication merits further retention.	
14	1.3.002	Publication Development Files	Agency background materials/documentation	AV					R		
16	1.1.067	Reports - Administrative			3				R		
17	1.1.067	Reports - Consultants			3				R		
18	1.1.070	Board Rules and Regulations	Substantive rules	AC	3			AC=Completion or termination of program, rules, policies or procedures.	R		

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19	1.1.043	Training Manuals	Board Member Orientation	US	1						
20	1.1.062	Meetings - Supporting Documentation	Board Meetings (including all committees summaries/reports, materials, etc.) and Committee meetings documents (i.e., documents submitted, exhibit items, and documentation for agenda items.)		2				A		
21	1.1.060	Audio or videotapes of open meetings		AC			90	AC=Official approval of written minutes.			

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					Years	Months	Days				
INFORMATION RESOURCES DIVISION											
11.001	1.1.008	Correspondence - General	Non-administrative incoming/outgoing and internal correspondence, in any media, pertaining to or arising from the routine operations of the policies, programs, services, or projects of an agency.		2						
11.002	1.1.013	Desk Calendars/Appointment Books		CE	1				R	Archives note: Only the calendars, appointments 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.	
11.003	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 one of odd-numbered calendar years.	A	Archival requirement is met by sending required copies to the Texas State Publications Depository Program, Texas State Library and Archives Commission.	
11.004	1.1.057	Transitory Information		AC				AC=Purpose of record has been fulfilled.			
11.005	1.2.003	Forms History File		AC	1			AC=Discontinuance of use of form.			

Retention Codes (field 7)

AC – See event trigger 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

Records Retention Schedule

1. Agency Code: 457		2. Agency Name: Texas State Board of Public Accountancy									
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				
11.006	1.2.006	Records Transmittal Forms		AC	2			AC=Date Permanent transfer from storage occurred.			
11.007	2.1.002	Master Files		AC				AC = a backup of master data files is completed daily and stored on-site.		The last daily backup is sent offsite every week and remains off-site for six weeks. On return the medium is ready for reuse. Every two months a complete system backup is completed and sent offsite for one year. On return the medium is ready for reuse. Some of the information in the files is confidential.	
11.008	2.1.007	Software Programs		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 read and retrieve the records.			13 TAC 6.94

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Archival Codes (Field 10)

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Records Retention Schedule

1. Agency Code: 457			2. Agency Name: Texas State Board of Public Accountability								
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				
11.009	2.1.008	Hardware Documentation		AC				AC = until electronic records are transferred 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 read and retrieved records are required the documentation to be retrieved and read.			13 TAC 6.94
11.010	2.1.009	Technical Documentation		AC				AC = until electronic records are transferred 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 read and retrieved records are required the documentation to be retrieved and read.			13 TAC 6.94
11.011	2.2.004	Computer Job Schedules and Reports				3					

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Archival Codes (Field 10)

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Records Retention Schedule

1. Agency Code: 457			2. Agency Name: Texas State Board of Public Accountancy								
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				
11.012	2.2.010	Data Processing Policies and Procedures		US	3					CAUTION: Does not include technical documentation of procedures necessary for reading or processing of electronic records. SEE item number 2.1.009	
11.013	2.2.011	Batch Data Entry Control Records		AC				AC=When reconciliation confirmed.			
11.014	5.4.013	Disaster Preparedness and Recovery Plans		US							

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Records Retention Schedule

1. Agency Code: 457			2. Agency Name: Texas State Board of Public Accountancy								
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				
SPONSOR REVIEW DIVISION											
23-0001	1.1.013	Desk Calendars/Appointment Books		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.	
23-0002		Sponsor Application/Sponsor Registration Approval Letter	Annual sponsor applications from organizations applying offer CPE.	AC	3			AC=After sponsor application expiration date.			
23-0003	1.1.057	Transitory Information		AC				AC=Purpose of record has been met.			
23-0004		SRP Board Course Request		AC	4			AC=After sponsor application expiration date.			
23-0005		Sponsor Course Materials		AC				AC=After Review of Materials.			
23-0006		CPE Reviewer Checklist		AC	4			AC=After sponsor application expiration date.			
23-0007		Master Reviewer Group Evaluation		AC	4			AC=After Master Reviewer Meeting.			
23-0008		Letter of Concern From TSBPA-SRP		AC	4			AC=After Reply From Sponsor is Received.			
23-0009		Reply to Letter Of Concern From Sponsor		AC	4			AC=After Reply From Sponsor is Received.			

Retention Codes (field 7)

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