



May 6, 2015

Ms. Janet Sobieski  
IT/Communications Director  
Texas Board of Professional Engineers  
1917 S. I-35  
Austin, TX 78741

RE: Agency records retention schedule approved for use

State and Local  
Records Management

P.O. Box 12927  
Austin, Texas  
78711.2927

4400 Shoal Creek Blvd.  
Austin, Texas  
78756

[www.tsl.texas.gov](http://www.tsl.texas.gov)

*Commission Chairman*  
Michael C. Waters

*Members*  
Sharon T. Carr  
Martha Doty Freeman  
F. Linwood Givens  
Larry G. Holt  
Wm. Scott McAfee  
Sandra J. Pickett

*Director and Librarian*  
Mark Smith

*Assistant State Librarian*  
Edward Seidenberg

*Preserving yesterday,  
informing today,  
inspiring tomorrow.*

Dear Ms. Sobieski:

Your agency's records retention schedule is approved for use as of April 27, 2015. Your currently approved records retention schedule is available on our website at <https://www.tsl.texas.gov/slrn/state/schedules.html>. Please ensure all old copies of the schedule are superseded with this recertified copy.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. We urge on you the importance of disposing of the records of your agency in a timely manner in accordance with the retention periods on your schedule. 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 **April 2020**.

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, Erica Wilson, at 512-463-6627 or [ewilson@tsl.texas.gov](mailto:ewilson@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 blue ink, appearing to read "CK".

Craig Kelso  
Director and State Records Administrator

cc: State Auditor, State Archivist, Lance Kinney

R01.460/460



Texas State Library and Archives Commission

# STATE OF TEXAS Records Retention Schedule Certification

SLR 105C

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

EW

### Section 1. Agency Information

(Submitting agencies complete this section only)

Agency Code 460

Agency Name Texas Board of Professional Engineers

(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

*Janet Sobieski*

Name (Print or type)

Janet Sobieski

Date

June 30, 2014

### 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)

Date

*E. Friedberg*

04-27-2015

Cert/Recert No.

10

Amendment No.

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## 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.**



# TBPE RECORDS RETENTION SCHEDULE

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Retention Codes ( <i>Field 7</i> )	Archival Codes ( <i>Field 8</i> )
AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value	CE – Calendar Year End FE – Fiscal Year End LA – Life of Asset MO – Months PM – Permanent US – Until Superseded A – Transfer to State Archives R – Review by State Archivist



**STATE OF TEXAS**

**Records Retention Schedule**

**SLR 105**

Form SLR 105C must accompany this form.

2. Agency Code 460		3. Agency Name Texas Board of Professional Engineers								
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.	
			Agency	Storage	Total					

<b>ADMINISTRATION</b>									
5.4.001	ADM-01	Accident Reports & Associated Documentation	CE + 5		CE + 5			29 CFR 1904.33	
3.3.001	ADM-02	Affirmative Action Plans	5		5				
1.1.070	ADM-03	Agency Rules, Policies & Procedures	US + 3		US + 3	R			
1.1.071	ADM-04	Agency Rules, Policies & Procedures - Working Files	AC+3		AC+3	R	AC = Completion or termination of program, rules, policies, or procedures		
1.1.064	ADM-05	Agency Performance Measures Documentation	FE + 3		FE + 3		The FE + 3 retention period overrides any shorter retention period for a records series in this schedule if the records series is needed for documentation of agency performance measures.		
1.1.002	ADM-06	Audits	AC + 7		AC + 7		AC = Publication or release of final audit findings		
5.2.003	ADM-07	Building Plans and Specifications	LA		LA	R			

Retention Codes (Field 7)				Archival Codes (Field 8)			
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**STATE OF TEXAS**

# Records Retention Schedule

**SLR 105**

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1. Page -2- of 21

2. Agency Code 460		3. Agency Name Texas Board of Professional Engineers								
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			Agency	Storage	Total					

1.1.013	ADM-08	Calendars, Appointment, and Itinerary Records	CE + 1		CE + 1	R	<p>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.</p> <p>CAUTION: A record of this type purchased with personal funds, but used by a state official or employee to document his or her work activities may be a state record and subject to this retention period. See Open Records Decision 635 issued in December 1995 by the Attorney General.</p>
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**STATE OF TEXAS**

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**SLR 105**

Form SLR 105C must accompany this form.

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2. Agency Code 460		3. Agency Name Texas Board of Professional Engineers								
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1.1.007	ADM-09	Correspondence - Administrative	4		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.
5.4.013	ADM-10	Disaster Preparedness and Recovery Plan	US		US		
1.1.011	ADM-11	Executive Orders	US + 3		US + 3	A	
	ADM-12	Fingerprint Cards	AC	0	AC		AC = destroyed immediately after review These paper cards are erroneously submitted by license holders or applicants for licensure for the purpose of a criminal history record check. They have been instructed to mail these to the state contracted vendor.
4.4.001	ADM-13	General & Subsidiary Ledger	FE + 3		FE + 3		

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Archival Codes (Field 8)

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**STATE OF TEXAS**

# Records Retention Schedule

**SLR 105**

Form SLR 105C must accompany this form.

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2. Agency Code 460		3. Agency Name Texas Board of Professional Engineers								
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			Agency	Storage	Total					

1.1.014	ADM-14	Legal Opinions and Advice	AV		AV	R	CAUTION: Does not include legal opinions or advice rendered on a matter in litigation or with regard to pending litigation.
1.1.004	ADM-15	Legislative Appropriation Requests	AC + 6		AC+6	A	AC = September 1 of odd-numbered calendar years Series is no longer being created as the agency has not been under appropriations since 2000.
4.7.010	ADM-16	Long Term Liability Records	AC + 3		AC + 3		AC = Retirement of debt.
5.1.004	ADM-17	Mail and Telecommunications Listings	US		US		

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# Records Retention Schedule

**SLR 105**

Form SLR 105C must accompany this form.

1. Page -5- of 21

2. Agency Code 460		3. Agency Name Texas Board of Professional Engineers						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

1.1.058	ADM-18	Meeting Agenda & Minutes	PM	PM	PM	A	<p>Agency retains permanent record. The archival requirement will be met by sending a copy to the Legislative Reference Library and an additional copy to the Archives and Information Services Division, Texas State Library and Archives Commission.</p> <p>CAUTION: This records series and item numbers 1.1.059, 1.1.060, 1.1.061, and 1.1.062 must be used for those state boards, committees, commissions, and councils, which by law or the biennial Appropriations Act, are administered by another state agency. These records and all others related to the functions of any of these dependent entities must be included in the records retention schedule of the administering agency.</p>
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Retention Codes (Field 7)

AC – After Closed, Terminated, Completed, Expired, Settled  
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Archival Codes (Field 8)

A – Transfer to State Archives  
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**SLR 105**

Rev. 06/05



**STATE OF TEXAS**

**Records Retention Schedule**

**SLR 105**

Form SLR 105C must accompany this form.

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			Agency	Storage	Total					

1.1.060	ADM-19	Audio Recordings of Meeting Minutes	AC+90 Days		AC+90 Days		AC=Official approval of written minutes of the meeting by the governing body of an agency. Recordings must be transcribed and approved by Board members before they can be considered official. After this official date, they are stored for 90days.
1.1.062	ADM-20	Meetings - Supporting Documentation	5		5	A	Documents are retained for five years as opposed to the standard two years as a reference tool for future meetings.
1.1.020	ADM-21	Open Records Requests - Approved	AC + 1		AC + 1		AC = Date request filled
1.1.021	ADM-22	Open Records Requests - Denied	AC + 2		AC + 2		AC = Date of Denial of request
1.1.023	ADM-23	Organization Charts	US		US	A	
1.1.027	ADM-26	Proposed Legislation	AV		AV		
1.1.019	ADM-24	Public Relations Records	2		2	R	News, press releases, or any public relations files maintained or issued by an agency. Includes print, audio, and audiovisual records.

Retention Codes (Field 7)

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			Agency	Storage	Total					

1.3.002	ADM-25	Publication Development Files	AV		AV	R		
1.2.010	ADM-26	Records Disposition log	10		10			
1.1.066	ADM-27	Reports- Biennial or Annual Agency (Narrative)	AC + 6		AC + 6	A	AC = September 1 of odd-numbered calendar years. Agency retains permanent record copy. Archival requirement will be met by sending a copy to the Texas State Publications Depository Program, Texas State Library & Archive Commission	
	ADM-28	Subpoena for Documents through the Open Records Process	AC + 1		AC + 1		AC = Date request filled	
1.1.055	ADM-29	TBPE Agency Strategic Plans	AC + 6		AC + 6	A	AC = September 1 of odd-numbered calendar years, copy to Texas State Publications Depository Program, TSLAC	
3.3.022	ADM-30	Texas Workforce Commission Reports	3		3			

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# Records Retention Schedule

**SLR 105**

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2. Agency Code 460		3. Agency Name Texas Board of Professional Engineers								
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			Agency	Storage	Total					

1.1.057	ADM-31	Transitory Information	AC		AC		AC = Purpose of record has been fulfilled. Can be recorded on any medium. 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.
5.2.022	ADM-32	Utility Usage Reports	AV		AV		
5.4.011	ADM-33	Visitor Control Registers	3		3		
		<b>HUMAN RESOURCES</b>					
3.4.001	HR-01	Accumulated Leave Adjustments Requests	FE + 3		FE + 3		

Retention Codes (Field 7)

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Archival Codes (Field 8)

A – Transfer to State Archives  
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**SLR 105**

Rev. 06/05



**STATE OF TEXAS**

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3.3.026	HR-02	Agency Staffing Reports	US + 3		US + 3			
3.3.027	HR-03	Aptitude & Skills Tests	US + 2		US + 2		29 CFR 1602.31 CAUTION: One copy of each different test (different in terms of either questions or administration procedures) should be retained for the period indicated.	
3.1.001	HR-04	Applications for Employment - Not Hired	2		2		29 CFR 1602.31	
3.1.002	HR-05	Applications for Employment - Hired	AC + 5		AC + 5		AC = Termination of Employment	
3.3.004	HR-06	Benefits Plans	US + 1		US + 1		29 CFR 1627.3(b)(2)	

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**STATE OF TEXAS**

# Records Retention Schedule

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1. Page - 10 - of 21

2. Agency Code 460		3. Agency Name Texas Board of Professional Engineers								
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.	
			Agency	Storage	Total					

3.1.026	HR-07	Criminal History Checks	AC		AC	AC = The criminal history record has served the immediate purpose for which it was obtained. CAUTION: An agency that is authorized to obtain a criminal history record information from DPS must refer to its agency's legislation or see Subchapter F, Chapter 411, Government Code for appropriate retention and use of this information.	
3.3.031	HR-08	EEO Reports & Supporting Documentation	3		3	29 CFR 1602.32, 1602.39, 1602.41, 1602.48, & 1602.50	
3.2.001	HR-09	Employee Deduction Authorizations	AC + 4		AC + 4	AC = After termination of employee or after amendment, expiration or termination of authorization, whichever sooner.	
3.2.002	HR-10	Employee Earnings Records	4		4	Computer Printout 40 TAC 815.106(i)	

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**STATE OF TEXAS**

# Records Retention Schedule

**SLR 105**

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2. Agency Code 460		3. Agency Name Texas Board of Professional Engineers								
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			Agency	Storage	Total					

3.1.029	HR-11	Employment Eligibility (INS I-9)	AC + 1		AC + 1	AC = Termination of employment CAUTION: Federal regulation requires that INS 1-9 forms be retained for 3 years from date of hire or 1 year after separation of the employee, whichever 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.	
3.1.011	HR-12	Employee Insurance Records	AC		AC	AC=Until superseded or termination of employment. CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item number 3.2.001.	
3.1.014	HR-13	Employment Selection Records	2		2	29 CFR 1602.31	

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3.1.012	HR-14	Employment Opportunity Announcements	2		2	29 CFR 1602.31	
3.3.011	HR-15	Former Employee Verification Records	AC + 75		AC + 75	AC = Termination of Employment	
3.1.018	HR-16	Grievance Records	AC + 2		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 number 1.1.048.	
5.4.007	HR-17	Hazardous Materials Training Records	5		5	Health and Safety Code, Section 502.009(g)	
3.2.010	HR-18	Human Resources Information System (HRIS) Reports	AC + 4		AC + 4		
3.4.002	HR-19	Leave Status Reports	FE + 3		FE + 3		
3.1.019	HR-20	Performance Appraisals	AC+2		AC+2	29 CFR 1620.32(c)	
3.1.022	HR-21	Personnel Information or Action Forms	AC+2		AC+2	29 CFR 1602.31	

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Archival Codes (Field 8)

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**STATE OF TEXAS**

# Records Retention Schedule

**SLR 105**

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1. Page - 13 - of 21

2. Agency Code 460		3. Agency Name Texas Board of Professional Engineers								
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3.3.024	HR-22	Personnel Policies and Procedures	US + 3		US + 3			
3.3.015	HR-23	Positions/Job Classification Review File	US + 3		US + 3			
3.1.023	HR-24	Position/Job Descriptions	AC+4		AC+4	40 TAC 815.106(i) AC= Until superseded or job eliminated.		
3.4.007	HR-25	Time Off and/or Sick Leave Requests	FE + 4		FE + 4			
3.4.006	HR-26	Time Cards & Time Sheets	FE + 4		FE + 4	40 TAC 815.106(i)		
3.2.005	HR-27	W-4 Forms	AC + 4		AC + 4	26 CFR 31.6001-1(e)(2) AC=Until superseded, obsolete, or upon separation of employee.		
	HR-28	Wellness Program Documentation	FE + 4		FE + 4			

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**STATE OF TEXAS**

# Records Retention Schedule

**SLR 105**

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1. Page - 14 - of 21

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			Agency	Storage	Total					

<b>IT/COMMUNICATIONS DIVISION</b>									
2.1.008	IT-01	Hardware Documentation	AC		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. 13 TAC 6.94.	
1.3.001	IT-02	Newsletters	PM	PM	PM			55 copies are sent to the Texas State Publications Depository Program at the Texas State Library. Extra copies are also retained in the agency.	
1.3.001	IT-03	Newsletters	PM	PM	PM			Retained as permanent record.	
1.1.019	IT-04	News Releases	AC + 2		AC + 2	R		AC = After distribution	

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**STATE OF TEXAS**

# Records Retention Schedule

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1. Page - 15 - of 21

2. Agency Code 460		3. Agency Name Texas Board of Professional Engineers								
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			Agency	Storage	Total					

1.2.005	IT-05	Records Retention Schedule (SLR-105)	US		US	Original is retained permanently by the State & Local Records Management Division, Texas State Library & Archives Commission	
1.2.008	IT-06	Request for Authority to Dispose of State Records (RMD 102)	FE + 3		FE + 3	Original is retained permanently by the State & Local Records Management Division, Texas State Library & Archives Commission	
1.2.006	IT-07	Records Transmittal Forms	AC + 2		AC + 2	AC = Date of authorization for destruction, permanent transfer from storage or transfer to the Archives & Information Services Division, Texas State Library & Archives Commission by the agency records administrator	
1.2.011	IT-08	Records Center Storage Approval Forms (RMD-106)	US		US		
5.4.012	IT-09	Security Access Records	AC + 2		AC + 2	AC = Until superseded, date of expiration, or date of termination, whichever is sooner	

Retention Codes (Field 7)

AC – After Closed, Terminated, Completed, Expired, Settled  
AV – Administrative Value

CE – Calendar Year End  
FE – Fiscal Year End

LA – Life of Asset  
MO – Months

PM – Permanent  
US – Until Superseded

Archival Codes (Field 8)

A – Transfer to State Archives  
R – Review by State Archivist

**SLR 105**

Rev. 06/05



**STATE OF TEXAS**

# Records Retention Schedule

**SLR 105**

Form SLR 105C must accompany this form.

1. Page - 16 - of 21

2. Agency Code 460		3. Agency Name Texas Board of Professional Engineers								
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.	
			Agency	Storage	Total					

2.1.007	IT-10	Software Programs	AC		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. 13 TAC 6.94 CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.	
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Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	A – Transfer to State Archives			
AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded	R – Review by State Archivist			



**STATE OF TEXAS**

# Records Retention Schedule

**SLR 105**

*Form SLR 105C must accompany this form.*

1. Page - 17 - of 21

2. Agency Code 460		3. Agency Name Texas Board of Professional Engineers								
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.	
			Agency	Storage	Total					

2.1.009	IT-11	Technical Documentation	AC		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. 13 TAC 6.94.	
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Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	A – Transfer to State Archives			
AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded	R – Review by State Archivist			



**STATE OF TEXAS**

# Records Retention Schedule

**SLR 105**

Form SLR 105C must accompany this form.

1. Page - 18 - of 21

2. Agency Code 460		3. Agency Name Texas Board of Professional Engineers								
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.	
			Agency	Storage	Total					

<b>FINANCIAL DEPARTMENT</b>									
4.7.001	FIN-01	Accounting Policies and Procedures Manual	US + 3		US + 3				
4.5.003	FIN-02	Annual Financial Report	AC + 6		AC + 6		AC = September 1 of odd-numbered calendar years		
4.5.006	FIN-03	Annual Operating Budgets	FE + 3		FE + 3				
4.4.003	FIN-04	Accounts Payable Ledgers	FE + 3		FE + 3				
4.4.002	FIN-05	Accounts Receivable Ledgers	FE + 3		FE + 3				
4.7.002	FIN-06	Bank Statements	FE + 3		FE + 3				
2.2.011	FIN-07	Batch Data Entry Control Records	AC+3		AC+3		AC=When reconciliation is confirmed.		
5.5.001	FIN-08	Billing Detail-Telecommunications (other than Tex-An)	FE + 3		FE + 3				
4.7.004	FIN-09	Capital Asset Records	LA + 3		LA + 3				

Retention Codes (Field 7)						Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	A – Transfer to State Archives					
AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded	R – Review by State Archivist					



**STATE OF TEXAS**

# Records Retention Schedule

**SLR 105**

*Form SLR 105C must accompany this form.*

2. Agency Code 460		3. Agency Name Texas Board of Professional Engineers								
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.	
			Agency	Storage	Total	9. Remarks				

4.6.003	FIN-10	Cash Counts	FE + 3		FE + 3			
4.2.001	FIN-11	Cash Deposit Vouchers	FE + 3		FE + 3			
4.7.006	FIN-12	Comptroller Statements	FE + 3		FE + 3		Computer Printout	
5.1.001	FIN-13	Contracts & Leases	AC + 4		AC + 4		AC = Expiration or termination of the instrument according to its terms	
1.1.008	FIN-14	Correspondence - General	2		2			
4.2.003	FIN-15	Daily Cash Receipts Logs	FE + 3		FE + 3			
4.7.007	FIN-16	Detail Chart of Accounts	FE + 3		FE + 3			
3.2.008	FIN-17	Direct Deposit Application/Authorizations	US		US			
4.2.007	FIN-18	Expenditure Vouchers	FE + 3		FE + 3			
4.1.004	FIN-19	Encumbrance Detail	FE + 3		FE + 3			

Retention Codes ( <i>Field 7</i> )	Archival Codes ( <i>Field 8</i> )
AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value	A – Transfer to State Archives R – Review by State Archivist
CE – Calendar Year End FE – Fiscal Year End	LA – Life of Asset MO – Months
PM – Permanent US – Until Superseded	



**STATE OF TEXAS**

# Records Retention Schedule

**SLR 105**

Form SLR 105C must accompany this form.

2. Agency Code 460		3. Agency Name Texas Board of Professional Engineers								
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.	
			Agency	Storage	Total	9. Remarks				

4.3.003	FIN-20	Expenditures Journals or Registers	FE + 3		FE + 3			
3.2.003	FIN-21	Federal Tax Records	AC + 4		AC + 4		26 CFR 31.6001-1(e)(2) AC = Tax due date, date the claim is filed, or date tax is paid whichever is later	
4.2.006	FIN-22	General Journal Vouchers	FE + 3		FE + 3			
4.5.002	FIN-23	Internal Fiscal Management Reports Includes agency monthly budget reports.	FE + 3		FE + 3			
5.2.014	FIN-24	Inventory - Annual Physical	FE + 3		FE + 3			
5.2.015	FIN-25	Inventory, Notices of Equipment Removed From	FE + 3		FE + 3			
4.1.005	FIN-26	Inventory and Other Cost Files Production, job, labor, quotes, pricing, specifications, etc.	FE + 3		FE + 3			
4.3.002	FIN-27	Receipts, Journals, or Registers	FE + 3		FE + 3			

Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	A – Transfer to State Archives			
AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded	R – Review by State Archivist			



**STATE OF TEXAS**

# Records Retention Schedule

**SLR 105**

Form SLR 105C must accompany this form.

2. Agency Code 460		3. Agency Name Texas Board of Professional Engineers								
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.	
			Agency	Storage	Total					

4.7.003	FIN-28	Returned Checks/Warrants/Drafts (Uncollectible)	AC + 3		AC + 3		AC = After deemed collectible.
3.2.009	FIN-29	State Deferred Compensation Records	AC + 5		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 <i>Benefits Coordinator Reference Manual</i> issued by the Employees Retirement System of Texas.
4.7.011	FIN-30	Texas Facilities Commission (TFC) Statements	FE + 3		FE + 3		
4.5.001	FIN-31	Worksheets for Preparing Fiscal Reports	FE + 3		FE + 3		
		<b><u>PURCHASING/BUILDING MAINTENANCE</u></b>					
5.2.008	PUR-01	Equipment History/Service Agreements	LA + 3		LA + 3		

Retention Codes (Field 7)

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MO – Months

PM – Permanent  
US – Until Superseded

Archival Codes (Field 8)

A – Transfer to State Archives  
R – Review by State Archivist



**STATE OF TEXAS**

**Records Retention Schedule**

**SLR 105**

Form SLR 105C must accompany this form.

2. Agency Code 460		3. Agency Name Texas Board of Professional Engineers								
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.	
			Agency	Storage	Total	9. Remarks				

5.2.009	PUR-02	Equipment Inventory Detail Report Forms	FE + 3		FE + 3		
5.2.010	PUR-03	Equipment Manuals	LA		LA		
5.2.011	PUR-04	Equipment Warranties	AC + 1		AC + 1	AC = Expiration of warranty	
4.7.009	PUR-05	Fixed Asset Sequential Number Logs	US + 3		US + 3		
5.4.003	PUR-06	Inspection Records	AC+3		AC+3	AC=Inspection or date of the correction of the deficiency if the inspection report reveals a deficiency. CAUTION: Does not include inspection reports of building construction. SEE item number 5.2.028.	
5.1.005	PUR-07	Postage Records	FE + 3		FE + 3		
4.2.005	PUR-08	Purchase Vouchers	FE + 3		FE + 3		
4.6.002	PUR-09	Reconciliations	FE + 3		FE + 3		

Retention Codes (Field 7)

AC – After Closed, Terminated, Completed, Expired, Settled  
AV – Administrative Value

CE – Calendar Year End  
FE – Fiscal Year End

LA – Life of Asset  
MO – Months

PM – Permanent  
US – Until Superseded

Archival Codes (Field 8)

A – Transfer to State Archives  
R – Review by State Archivist



**STATE OF TEXAS**

# Records Retention Schedule

**SLR 105**

Form SLR 105C must accompany this form.

1. Page - 23 - of 21

2. Agency Code 460		3. Agency Name Texas Board of Professional Engineers								
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.	
			Agency	Storage	Total					

5.2.019	PUR-10	Service Orders	3		3			
		<b>LICENSING DIVISION</b>						
	F-01	Annual Firm Renewal Statements	AC		AC		AC=Paper, hard copies are destroyed after being scanned during the receipting process.  Scans are stored on the receipting workstation and transferred to an external hard drive stored at The State Records Center, "TSLAC" for disaster recovery purposes.	

Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	A – Transfer to State Archives			
AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded	R – Review by State Archivist			



**STATE OF TEXAS**

# Records Retention Schedule

**SLR 105**

Form SLR 105C must accompany this form.

1. Page -24- of 21

2. Agency Code 460		3. Agency Name Texas Board of Professional Engineers								
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.	
			Agency	Storage	Total					

	F-02	Registered Firms - Pertinent Registration Documents	AC		AC	<p>Hardcopies destroyed through shredding upon completion of scanning or previously, microfilming (&lt;2003). Microfilm backups are maintained at the SRC. Imaging backups are stored on CDs in the agency fire-proof safe.</p> <p>AC = Approved Registration See microfilm and electronic in Record Series F-03.</p>	
	PE-01	Annual Renewal Statements	0	AC+7 5	AC+75	<p>Paper copies are scanned during receipting process. Scans are stored on receipting workstation and at The State Records Center, TSLAC, for disaster recovery. Hard copies are destroyed after any manual database changes are made.</p>	

Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	A – Transfer to State Archives			
AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded	R – Review by State Archivist			



**STATE OF TEXAS**

# Records Retention Schedule

**SLR 105**

Form SLR 105C must accompany this form.

1. Page -25- of 21

2. Agency Code 460		3. Agency Name Texas Board of Professional Engineers								
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.	
			Agency	Storage	Total					
	PE-02	Applicants Denied Licensure	0	AC+7 5	AC+75		Hardcopies destroyed through shredding upon completion of scanning.  See microfilm and electronic in Record Series PE-03.			

**Retention Codes (Field 7)**

AC – After Closed, Terminated, Completed, Expired, Settled  
AV – Administrative Value

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FE – Fiscal Year End

LA – Life of Asset  
MO – Months

PM – Permanent  
US – Until Superseded

**Archival Codes (Field 8)**

A – Transfer to State Archives  
R – Review by State Archivist



**STATE OF TEXAS**

**Records Retention Schedule**

**SLR 105**

Form SLR 105C must accompany this form.

2. Agency Code 460		3. Agency Name Texas Board of Professional Engineers								
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.	
			Agency	Storage	Total					

	PE-03	Applicants Denied Licensure	0	AC+75	AC+75		Hardcopies destroyed upon completion of scanning or previously, microfilming (<2003). Microfilm backups are maintained at the SRC. Imaging backups are stored on CDs in the agency fire-proof safe.	State Record Center Storage No. 92-460-002
1.1.008	PE-04	Correspondence concerning pertinent update to Professional Engineer Master Files	0	AC+75	AC+75		Hardcopies destroyed through shredding upon completion of scanning.	
	PE-05	Name Changes	0	AC+75	AC+75		Hardcopies destroyed through shredding upon completion of scanning.	
	PE-06	Delinquent Renewal Statements	0	AC+75	AC+75		Hardcopies stored until scanned.	State Record Center Storage <u>106 # 03-460-003</u>
	PE-07	Engineer-in-Training Certification Applications	0	AC+75	AC+75		Hardcopies stored until scanned.	

Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	A – Transfer to State Archives			
AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded	R – Review by State Archivist			



**STATE OF TEXAS**

# Records Retention Schedule

**SLR 105**

Form SLR 105C must accompany this form.

1. Page -27- of 21

2. Agency Code 460		3. Agency Name Texas Board of Professional Engineers								
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.	
			Agency	Storage	Total					

	PE-08	Engineer-in-Training Certification Applications (Approved)	0	AC+75	AC+75	AC = from date of receipt in the agency Hardcopies destroyed upon completion of scanning or previously, microfilming (<2003). Microfilm backups are maintained at the SRC. Imaging backups are stored on CDs in the agency fire-proof safe.	State Record Center Storage No. 02-460-004
	PE-09	Engineer-in-Training Certification Applications (Not Approved)	0	AC+75	AC+75	AC = from date of receipt in the agency Hardcopies destroyed through shredding upon completion of scanning.	
	PE-10	Examination Grades	PM		PM		
	PE-11	Fundamentals of Engineering Examination Applications	0	AC+50	AC+50		

Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	A – Transfer to State Archives			
AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded	R – Review by State Archivist			



**STATE OF TEXAS**

# Records Retention Schedule

**SLR 105**

Form SLR 105C must accompany this form.

1. Page - 28 - of 21

2. Agency Code 460		3. Agency Name Texas Board of Professional Engineers								
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.	
			Agency	Storage	Total					

	PE-12	Inactive/Reactivation Status Application	0	AC+75	AC+75	AC = from date of receipt in the agency Paper applications are received and processed. Hardcopies are destroyed upon completion of scanning.	
	PE-13	Licensed Professional Engineers - Pertinent Licensing Documents (Formerly Known As Applications for Registration)	0	AC+75	AC+75	AC = from date of receipt in the agency Hardcopies destroyed upon completion of scanning or previously, microfilming (<2003). Microfilm backups are maintained at the SRC. Imaging backups are stored on CDs in the agency fire-proof safe.	State Record Center Storage No. 92-460-001.
	PE-14	Master File of Licensed Professional Engineers, Registered Firms, Examinations & EIT's	US		US	AC = from date of receipt in the agency Records are updated daily.	
	PE-15	Pre-application Information	0	AC+75	AC+75	AC = from date of receipt in the agency AC= Upon processed application	
	PE-16	Serial Register	AV		AV		

Retention Codes (Field 7)

AC – After Closed, Terminated, Completed, Expired, Settled  
AV – Administrative Value

CE – Calendar Year End  
FE – Fiscal Year End

LA – Life of Asset  
MO – Months

PM – Permanent  
US – Until Superseded

Archival Codes (Field 8)

A – Transfer to State Archives  
R – Review by State Archivist



**STATE OF TEXAS**

# Records Retention Schedule

**SLR 105**

Form SLR 105C must accompany this form.

1. Page -29- of 21

2. Agency Code 460		3. Agency Name Texas Board of Professional Engineers								
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.	
			Agency	Storage	Total					

	PE-17	Voided Certificates of Licensure	0	AC+75	AC+75	AC = from date of receipt in the agency	
		<b><u>COMPLIANCE AND ENFORCEMENT DIVISION</u></b>					
	CE-01	Investigative Files	AC+10		AC+10	AC = After completion of scanning and quality control review. Images are destroyed ten years after case closing date. Some documents are on hold status and do not adhere to this schedule. See CE-03 for list.	
	CE-02	List of Hold Documents List of case files which are on hold past the standard retention schedule.	AV		AV	Retained as long as files exist which are listed. This list outlines the cases which are exceptions to CE-01 and CE-02.	

Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	A – Transfer to State Archives			
AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded	R – Review by State Archivist			



**STATE OF TEXAS**

# Records Retention Schedule

**SLR 105**

Form SLR 105C must accompany this form.

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2. Agency Code 460		3. Agency Name Texas Board of Professional Engineers								
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.	
			Agency	Storage	Total					

1.1.048	CE-03	Litigation Files	AC + 1		AC + 1	R	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
	CE-04	Orders – Consent Orders, Final Orders, Agreed Board Orders, Order of the Board, Cease and Desist Orders, Agreements, Injunctions, Default Judgments	PM		PM		After terms are agreed and signed by all parties. Scanned for disaster recovery purposes although originals are retained. Documents with original signature must be kept.
	CE-05	Policy Advisory Opinions	PM		PM		If we receive hard copy, these are scanned into the document management system and the hard copy is destroyed. If we receive an electronic version this is put directly into the document management system.

Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	A – Transfer to State Archives			
AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded	R – Review by State Archivist			



**STATE OF TEXAS**

# Records Retention Schedule

**SLR 105**

*Form SLR 105C must accompany this form.*

1. Page - 31 - of 21

2. Agency Code 460		3. Agency Name Texas Board of Professional Engineers								
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.	
			Agency	Storage	Total					

	CE-06	Approved PAO or Response	PM		PM	After PAO or Response is approved by PAO Committee and Board. Created for disaster recovery purposes although originals are retained.
	CE-07	CEP Audit Information	AC + 1		AC + 1	AC = after audit completion. Paper or electronic documents are requested upon audit. If we receive hard copy, these are scanned into the document management system and the hard copy is destroyed. If we receive an electronic version this is put directly into the document management system.

Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	A – Transfer to State Archives			
AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded	R – Review by State Archivist			



**STATE OF TEXAS**

# Records Retention Schedule

**SLR 105**

Form SLR 105C must accompany this form.

1. Page - 32 - of 21

2. Agency Code 460		3. Agency Name Texas Board of Professional Engineers								
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.	
			Agency	Storage	Total					

	CE-08	Technical Expert Documentation	AC + 3		AC + 3	<p>AC = from date of receipt in the agency</p> <p>If we receive hard copy, these are scanned into the document management system and the hard copy is destroyed.</p> <p>If we receive an electronic version this is put directly into the document management system.</p>	
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Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	A – Transfer to State Archives			
AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded	R – Review by State Archivist			