

January 4, 2022



Janet Sobieski
Operations Director
Texas Board of Professional Engineers and Land Surveyors
1917 S. Interstate 35
Austin, TX 78741

Dear Ms. Sobieski,

Amendment 1 of the 1st recertification of your agency's records retention schedule is approved for use as of **December 28, 2021**, and it may be accessed on our website at <https://www.tsl.texas.gov/slrn/state/schedules>. Please maintain this amendment with your currently approved schedule so that it can be easily referenced.

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 rules (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.

The 2nd recertification of your agency's records retention schedule is due the last working day of **August 2022**. After the 2nd recertification, subsequent recertifications will be due every 5 years.

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:

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

Sincerely,

A handwritten signature in black ink, appearing to read "C. Kelso".

Craig Kelso
Director and State Records Administrator

cc: Agency head

Lorenzo de Zavala
State Archives and
Library Building

1201 Brazos Street
Austin, Texas
78701

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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 460
 Agency Name Professional Board Of Engineers and land Surveyors

(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) Janet Sobieski
 Date 11-15-2021

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 Meyer
 Date 12/28/2021

Cert/Recert No. 1 Amendment No. 1

CAUTION

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

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

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

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





STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

Retention Codes (field 7)

AC – See field 9 for specific records series definition
 AV – Administratively valuable
 CE – Calendar year end
 FE – Fiscal year end
 LA – Life of Asset
 PM – Permanent
 US – Until Superseded

Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
 R/O – Review by State/University Archivist

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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				
1	5.4.001	Accident Reports & Associated Documentation	Records relating to all onsite accidents, including accident reports, supplemental accident reports, photographs, correspondence, and related documentation.	CE	5					Accident or occupational disease reports (by supervisors and employees) and other associated reports required to be submitted to the State Office of Risk Management (SORM) through the Risk Management Information System (RMIS).	29 CFR 1904.33.
2	4.7.001	Accounting Policies and Procedures Manual		US	3						
3	4.1.001	Accounts Payable	Claims; invoices; statements; copies of checks and purchase orders; expenditure authorizations; ledgers; encumbrance, purchase, general journal, expenditure, and special vouchers; and similar records that serve to document disbursements, including those documenting claims for and reimbursement to employees for travel and other expenses.	FE	3						
4	4.4.003	Accounts Payable Ledgers		FE	3						
5	4.4.002	Accounts Receivable Ledgers		FE	3						
6	3.4.001	Accumulated Leave Adjustments 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						
7	1.1.056	ADA (Americans with Disabilities Act) Documentation	Self evaluations and plans documenting compliance with the requirements of Americans with Disabilities Act.		3						28 CFR 35.1059(C)
8	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.	AC	3			AC = Last action.	R	This series is not for any files related to C & E cases; see C & E Investigative File (AIN 26).	
9	3.3.001	Affirmative Action Plans			5						29 CFR 30.12(d).
10	5.4.003	Agency Inspection Records	Fire, Safety and other inspection records of facilities and equipment.	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.	



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11	1.1.075	Alternative Dispute Resolutions - Final Agreement	Final agreement described by Government Code 2009.054(c), associated with a matter conducted under an alternative dispute resolution procedure in which personnel of a state agency participated as a party on the agency's behalf.	AC	4			AC = Date of final agreement.			Texas Civil Practice and Remedies Code, Chapter 154.071.
12	4.5.003	Annual Financial Report		AC	6			AC = September 1 of odd-numbered calendar years.		Required by the General Appropriations Act (100 Day Report).	
13	4.5.006	Annual Operating Budgets		FE	3					Required by the General Appropriations Act.	
14	5.2.001	Appraisals	Building and surrounding property.	AV					R		
15	3.3.027	Aptitude & Skills Tests	Aptitude or skills tests required of job applicants or of current personnel to qualify for promotion or transfer.	AC	2			AC = Until superseded or no longer used by agency.		CAUTION: One copy of each different test (different in terms of either questions or administration procedures) should be retained for the period indicated.	29 CFR 1602.31
16	1.1.002	Audits	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.			
17	1.1.061	Board Meeting - Notes	Notes taken during open meetings from which written minutes are prepared.	AC			90	AC = Official approval of written minutes of the meeting by the governing body of an agency.			
18	1.1.059	Board Meetings, Agendas and Minutes or Audiovisual Recordings of Closed Session	Agendas, minutes, or audiovisual recordings of closed meetings of state boards, commissions, committees, and councils.	AC	2			AC = The date of meeting or completion of pending action involving the meeting, whichever is later.		CAUTION: This must be used for those state boards, committees, councils, and commissions which by law or the biennial Appropriations Act, are administered by another state agency. These records and all others related to the functions of any of these dependent entities must be included in the records retention schedule of the administering agency.	



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19	1.1.058	Board Meeting Agenda & Minutes Open Session	Agendas and minutes of state boards, committees, commissions, and councils that conduct open meetings as required by Chapter 551, Government Code.	PM					A	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.	
20	1.1.060	Board Meeting Audio and Video Recordings for Minutes	Audio or videotapes of open meetings of state board, commissions committees, and councils and councils.	AC			90	AC = Official approval of written minutes of the meeting by the governing body of an agency.			
21	1.1.062	Board 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.		5				A	Documents are retained for five years as opposed to the standard two years as a reference tool for future meetings.	
22	5.2.001	Building Construction Files		AC	10			AC = Completion of project.	R		
23	5.2.028	Building Construction Contract and Inspection Records	Building construction contracts surety bonds, and inspection records.	LA	10				R		
24	5.2.003	Building Plans and Specifications	Includes architectural and engineering drawings, profiles, and blueprints.	LA					R		
25		C & E Case files which are on hold past the standard retention schedule.		AV						Retained as long as files exist which are listed.	
26		C & E Investigative Files		AC	10			AC = After case close date.		Paper originals are destroyed after scanning and quality control review.	
27		C & E 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.	



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28		C & E Policy Advisory Opinions		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.	
29		C & E Technical Expert Documentation		AC	3			AC = From date of receipt in the agency		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.	
30	1.1.013	Calendars, Appointment, and Itinerary Records	Calendars, appointment books or programs and scheduling, or itinerary records, purchased with state funds or maintained by staff during business hours that document appointments, itineraries, and other activities of agency officials or employees.	CE	1				R	If we receive an electronic version this is put directly into the document management system.	
31	2.1.010	CEP Audit Information	Files needed for electronic data audits such as files or reports showing transactions accepted, rejected, suspended, and/or processed; history files/tapes; records of on-line updates to application files or security logs.	AC	1			AC = After audit completion.		Paper or electronic documents are requested upon audit. If we receive hard copy, these are scanned into document management system and the hard copy is destroyed.	
32		CEP Audit Records and Correspondence	Notice to license holder of audit, responsive information from license holder, and associated correspondence.	AC	1			AC = After approval or rejection of audit.			
33		CEP Course Provider Approval Requests and Correspondence	Request for course approval or renewal, course descriptions, and associated correspondence.	AC	1			AC = After course is no longer on approved course list.			
34		CEP Individual Course Approval and Correspondence	Request for approval, course description, and associated correspondence.	AC	1			AC = After approval or rejection of request.			
35		CEP home study course records(Board offered)	Requests to take board offered course, course material returned by course taker, pass or failure notification.	AC	1			AC = After course taker is notified of the results (pass/fail) of the course.			
36	5.1.012	Charge Schedules/Price Lists	Schedules of prices charged by an agency for services to the public or other agencies including any documentation used to determine the charges.	US	3						



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*37		CHRC Fingerprint cards and DPS records.		AC				AC = Destroyed Immediately after review.		These paper cards are erroneously submitted by license holders for purpose of criminal history check.	
38	5.1.001	Contracts & Leases	Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings.	AC	7			AC = Expiration or termination of instrument according to its terms or decision not to proceed with the bid.			Government Code, 441.1855.
39	1.1.007	Correspondence - Administrative	Incoming/outgoing and internal correspondence pertaining to the formulation, planning, implementation, interpretation, modification, or redefinition of the programs, services, or projects of an agency and the administrative regulations, policies, and procedures that govern them.		4				R	ARCHIVES NOTE: Only the administrative correspondence of executive staff, board or commission members, division directors and program heads require archival review. Contact the State Archives when these records have met their retention periods. CAUTION: This records series and item number 1.1.008 should be used only for correspondence that is not included in or directly related to another records series on the agency's approved schedule.	
40	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						
41	5.1.015	Correspondence Tracking Records	Any record created by an agency to track any type of incoming or outgoing correspondence or packages by the U.S. Postal Service or by private couriers.		1						
42	3.1.026	Criminal History Checks	Criminal history record information on job applicants or agency employees obtained from the Department of Public Safety (DPS).	AC				AC = The criminal history record has served the immediate purpose for which it was obtained.		CAUTION: An agency that is authorized to obtain a criminal history record information from DPS must refer to its agency's legislation or see Subchapter F, Chapter 411, Government Code for appropriate retention and use of this information.	
43	1.1.038	Customer Surveys	Surveys soliciting feedback from customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC				AC= Final disposition of summary report, or date of decision not to produce a report, as applicable.		SEE item number 1.1.067 for summary reports compiled from customer surveys.	



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44	5.4.013	Disaster Preparedness and Recovery Plan	Plans developed (per Texas Labor Code, 412.054) to mitigate the damage of potential events that could endanger an agency's ability to function.	US							
45	3.3.031	EEO Reports & Supporting Documentation			3						29 CFR 1602.32, 1602.39, 1602.41, 1602.48, & 1602.50.
46	3.3.004	Employee Benefits Plans	Employee benefit plans such as pension; life, health, and disability insurance; deferred compensation; etc., including amendments.	AC	1			AC = Until superseded or plan terminated.			29 CFR 1627.3(b)(2).
47	3.2.001	Employee Deduction Authorizations	Documentation used to start, modify, or top all voluntary or required deductions from payroll, including garnishment or other court-ordered attachments.	AC	4			AC = After the termination of an employee or after amendment, expiration or termination of authorization, whichever sooner.			
48	3.1.021	Employee Disciplinary Action Documentation	Disciplinary actions are those actions which may affect pay, status, or tenure. They are imposed to discipline an employee whose conduct is harmful to the best interests of the state, the agency, or the employee work force; and for failure to improve performance or conduct following imposition of corrective action. May include cause for demotion, suspension, or dismissal, and the reasons for failure to give written notice of resignation. May also be used to document evidence of employee self improvement efforts, as well as favorable and unfavorable communication.	AC	5			AC = After Termination of employment		May also be used to document evidence of employee self-improvement efforts, as well as favorable and unfavorable communication.	
49	3.2.002	Employee Earnings Records			4						40 TAC 815.106(i)
50	3.2.003	Employee Federal Tax Records	Includes 1099, W2, FICA, and other tax records.	AC	4			AC = Tax due date, date the claim is filed, or date tax is paid whichever is later.			26 CFR 31.6001-1(e)(2)
51	3.1.018	Employee 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).	



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52	3.1.022	Employee Information or Action Forms	Forms or similar records used to create or change information concerning the records of an employee, including pay grade, position classification, employee number, evaluation date, and termination of employment.		2						29 CFR 1602.31.	
53	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 number 3.2.001.		
54	3.4.002	Employee Leave Status Reports		FE	3							
55	1.1.023	Employee Organization Charts		US					A			
56	3.1.019	Employee Performance Appraisals			2						29 CFR 1620.31(c).	
57	3.3.024	Employee Policies and Procedures	Any internally distributed manuals, guidelines, or similar records that define agency wide policies and procedures.	US	3							
58	3.1.023	Employee Position/Job Descriptions	Job descriptions, including all associated task or skill statements for positions.	AC	4			AC = Until superseded or job eliminated.			40 TAC 815.106(i).	
59	3.3.026	Employee Staffing Reports	Any reports compiled by an agency on aspects of personnel staffing.	US	3							
60	3.4.006	Employee Time and Attendance Records			4						40 TAC 815.106(i).	
61	3.4.007	Employee Time Off and Sick Leave or Overtime Requests		FE	3							
62	3.1.027	Employee Training and Educational Achievements Records	Certificates of completion, transcripts, test scores, or similar records documenting the training, testing, or continuing education achievements of an employee.	AC	5			AC = Termination of employment.				
63	3.3.011	Employee Verification Records for Former Employees	Minimum information needed to verify employment, includes name, social security number, exact dates of employment, last known address and most recent public access option form.	AC	75			AC = Termination of employment.				
64		Employee Wellness Program Documentation		FE	4							



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65	3.1.002	Employment Applications - 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.			
66	3.1.001	Employment Applications - 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.	AC	2			AC= Date of the making of the record or the personnel action involved, whichever occurs later.			29 CFR 1602.31.
67	3.1.029	Employment Eligibility (INS I-9)	Federal reporting form	AC				AC= 3 years after date of hire or 1 year after termination of employment, whichever is later.		CAUTION: Federal regulation requires that INS 1-9 forms be retained for 3 years from date of hire or 1 year after separation of the employee, whichever later. Agencies should make certain that the INS I-9 forms for employees who terminate from an agency less than 3 years from date of hire are kept for the 3 year retention period.	8 CFR 274a.2(b)(2)(i)(A) and (c)(2).
68	3.1.012	Employment Opportunity Announcements	Internal or external announcements or advertisements of job openings, promotions, training programs, or opportunities for overtime.		2						29 CFR 1602.31.
69	3.3.015	Employment Positions/Job Classification Review File	Records relating to review and monitoring of job classifications within an agency.	US	3						
70	3.1.014	Employment Selection Records	Includes notes and records that document the selection process of interviews with candidates.		2			AC = Date of the making of the record or the personnel action involved, whichever occurs later.		CAUTION: Does not include criminal history checks. See item number 3.1.026.	29 CFR 1602.31.
71	3.2.005	Employment W-4 Forms	Employer's copy of "Employees' Withholding Exemption Certificate."	AC	4			AC = Until superseded, obsolete, or termination of employment.			26 CFR 31.6001-1(e)(2).



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72	2.1.008	Equipment 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.			13 TAC 6.94.
73	5.2.008	Equipment History File	Includes requests for installation, moves, service, etc.; and service/repair logbooks, etc.	LA	3					For service agreements or contracts related to equipment repairs and service, retain in accordance with item number 5.1001.	
74	5.2.009	Equipment Inventory Detail Report Forms		FE	3						
75	5.2.010	Equipment Manuals		LA							
76	5.2.011	Equipment Warranties		AC	1			AC = Expiration of warranty.			
77	5.4.002	Evacuation Plans	Plans for evacuation of agency facilities in cases of emergency.	US							
78		Exam Cut Off Score Committee Meeting Documents		AV						Administrative Value	
79		Exam Item Writing Committee Meeting Documents		AV						Administrative Value	
*80		Exam Material	Scantron answer sheets or exam booklets.	AC	2			AC = When application for licensure or registration is approved.			
81		Exam Quality Assurance & Control - Committee Meeting Documents		AV						Administrative Value	
82		Exam Reports and Statistics		AC	2			AC = Until exams are replaced.			
*83		Examination Grades		AC	75			AC = When application for licensure or registration is approved.			
84		Exams - Fundamentals of Examination Applications	Application by a licensee to take the FE (Fundamentals of Engineering) Exam administered by NCEES (National Council of Examiners for Engineering and Surveying).	AC	50			AC = After exam date.			
85	1.1.011	Executive Orders	Any document that initiates, rescinds, or amends a regulation, policy, or procedure that governs the programs, services, or projects of an agency.	US	3				A		



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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				
86	4.5.005	External Fiscal Reports	Special purpose - i.e. federal financial reports, salary reports, etc. Includes HUB Reports.	FE	5					Note: We have internal fiscal reports but not external.	
87	5.2.026	Facilities Reservation Logs	Reservation logs or similar records relating to the use of agency facilities such as meeting rooms, auditoriums, etc.		2						
88	4.8.001	Financial Banking Records		FE	3						
89	4.7.004	Financial Capital Asset Records	Documentation relating to the capital and fixed assets of a state agency, including equipment or property history cards containing data on initial cost, depreciation schedules or summaries used for capital outlay budgeting, and property sale, auction, or disposal records of agency owned equipment and property.	LA	3						
90	4.6.003	Financial Cash Counts		FE	3						
91	4.2.001	Financial Cash Deposit Vouchers	Cash deposit slips.	FE	3						
92	2.2.011	Financial Data Input Documents	Forms and logs used to reconcile batches submitted for processing against batches received and processed.	AC				AC = Data entered into applicable system and, if required, verified			
93	4.7.006	Financial Comptroller Statements		FE	5						29 CFR 1627.3(b)(2)
94	4.2.003	Financial Daily Cash Receipts Logs		FE	3						
95	4.7.007	Financial Detail Chart of Accounts	One for all accounts in use for a fiscal year.	FE	3						
96	3.2.008	Financial Direct Deposit Application/Authorizations		US							
97	4.1.004	Financial Encumbrance Detail		FE	3						
98	4.2.007	Financial Expenditure Vouchers	Travel, payroll, etc.	FE	3						
99	4.3.003	Financial Expenditures Journals or Registers		FE	3						
100	4.4.001	Financial General & Subsidiary Ledger		FE	3						
101	4.2.006	Financial General Journal Vouchers		FE	3						



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102	4.5.002	Financial Internal Fiscal Management Reports	Includes agency monthly budget reports.	FE	5						
103	4.3.002	Financial Receipts, Journals, or Registers		FE	3						
104	4.6.002	Financial Reconciliations		FE	3						
105	4.7.003	Financial Returned Checks/Warrants/Drafts (Uncollectible)		AC	3			AC = After deemed uncollectable.			
106	4.5.001	Financial Worksheets for Preparing Fiscal Reports		FE	5						
107	5.4.004	Fire Orders	Orders issued by Fire Marshal to correct deficiencies in compliance with fire code.	AC	3			AC = Deficiency corrected.			
108		Firm Renewal Annual Statements		AC	75			AC = When the Firm was approved for certificate.			
109		Firms – Correspondence concerning updates to Master Files		AC	2			AC = From date of change is made in database.		Includes engineering and surveying firm updates.	
110		Firms - Pertinent Registration Documents		AC				AC = Approved registration.		Includes all documents pertaining to engineering and surveying firm updates.	
111	4.7.009	Fixed Asset Sequential Number Logs		US	3						
112	5.4.007	Hazardous Materials Training Records	Records of training given employees in an agency hazard communications program.		5						Health and Safety Code, Section 502.009(g).
113	3.2.010	Human Resources Information System (HRIS) Reports		AC	4			AC = Last day of period covered in report.		Includes supporting documentation.	
114	5.1.013	Insurance Policies	Vehicles, equipment, etc.	AC	7			AC = Expiration or termination of policy according to its terms.			Government Code, 441.1855.
115	5.2.014	Inventory - Annual Physical		FE	3						
116	4.1.005	Inventory and Other Cost Files Production, job, labor, quotes, pricing, specifications, etc.		FE	3						



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117	5.2.006	Inventory and Property Control Records	Records documenting the inventorying, maintenance, usage, and disposal of supplies, equipment, and property of a state agency.	FE	3						Includes lost, stolen, and damage reports.
118	1.1.014	Legal Opinions and Advice	From agency legal counsel or the Attorney General, including any requests eliciting the opinions.	AV					R		CAUTION: Does not include legal opinions or advice rendered on a matter in litigation or with regard to pending litigation. See item number 1.1.048.
119	1.1.076	Legal Subpoena for Documents	Subpoenas for production of evidence produced for litigation in which the state agency is not a party.	AC	1			AC = Date request filled.			
120	1.1.004	Legislative Appropriation Requests	Including any supporting documentation created and/or used to justify and support legislative appropriations requests by an agency.	AC	6			AC = September 1 of odd- numbered calendar years.			Only copies of supporting documentation submitted to the Legislative Budget Board are archival.
121		License Annual Renewal payment coupons	PE, LSLS and RPLS	AC	75			AC = When the application for licensure was approved.			Paper copies are scanned during receipting process.
122		Licensee Correspondence concerning pertinent update to Master Files of license and registration holders	Address changes, status changes, employment updates, deceased notifications, voluntary surrender, name changes, etc.	AC	2			AC = Date change made in data base.			
123		Licensee Delinquent Renewal Statements		FE	3						Hardcopies stored until scanned.
124		Licensee in Training Certification Applications (Approved)	This includes EIT (Engineer in Training) and SIT (Surveyor in Training).	AC	75			AC = 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.
125		Licensee Pre-application Information		AC	75			AC = Upon processed application.			Hardcopies destroyed upon completion of scanning or previously, microfilming (<2003). Microfilm backups are maintained at the SRC.
126		Licensee Training Certification Applications (NOT Approved)	This includes EIT (Engineer in Training) and SIT (Surveyor in Training).	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 offsite.



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127		Licensee Inactive/Reactivation Status Application		AC	2			AC = From date recorded in database.				
128		Licensees Denied Licensure	PE, LSLS and RPLS	AC	75			AC = Date of notification of denial.		Hardcopies destroyed upon completion of scanning or previously, microfilming (<2003). Microfilm backups are maintained at the SRC. Imaging backups are sent offsite.		
129		Licenses - Pertinent Licensing Documents (Formerly Known As Applications for Registration)	Certificates of completion, Transcripts, test scores, or similar records documenting the training, testing, or continuing education achievements of an employee.	AC	75			AC = From date of receipt in the agency		Hardcopies destroyed upon completion of scanning or when previously, microfilming (<2003). Microfilm backups are maintained at the SRC. Imaging backups are sent offsite.		
130	1.1.048	Litigation Files	Records created by or on behalf of an agency in anticipation of or in the adjudication of a lawsuit.	AC	1			AC = As applicable, decision of an agency not to file a lawsuit or decision that a lawsuit will not be filed against it on a matter; dismissal of a lawsuit for want of prosecution or on motion of the plaintiff; or final decision of a court (or of a court on appeal, if applicable) in a lawsuit.	R	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.		
131	4.7.010	Long Term Liability Records		AC	3			AC = Retirement of debt.				
132	5.1.004	Mail and Telecommunications Listings	Any mailing address, telephone or fax number, or email address records maintained by an agency on its employees or on entities or persons it serves.	US								
133	1.3.001	Newsletters (State Publications)		AC	2			AC = Until superseded or obsolete.		5 copies are sent to the Texas State Publications Depository program at the Texas State Library. Extra copies are also retained in the agency.		
134	1.1.020	Open Records Requests - Approved	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 request filled				
135	1.1.021	Open Records Requests - Denied	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 of notification that records are exempt.				
136	3.4.004	Overtime Authorizations			2							



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137	1.1.064	Performance Measure 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					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.	
138	1.1.024	Plans and Planning Records	Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC	3			AC = Decision made to implement or not to implement result of planning process.	R	ARCHIVES NOTE: Data processing planning records are not archival.	
139	5.1.005	Postage Records		FE	3						
140	1.1.027	Proposed Legislation	Drafts of proposed legislation and related correspondence.	AV							
141	1.1.019	Public Relations Records	News, press releases, or any public relations files maintained or issued by an agency. Includes print, audio, and audiovisual records.		2				R		
142	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		
143	4.2.005	Purchase Vouchers		FE	3						
144	5.3.007	Purchasing Bid Documentation	Includes bid requisition or authorizations, invitations to bid or propose, bid specifications, successful bids, and bid tabulation and evaluation.	AC	7			AC = Expiration or termination of an instrument according to its terms or decision not to proceed with the bid.			
145	5.3.007	Purchasing Bid Documentation (Denied)	Unsuccessful bids that do not meet agency submission requirements and are not included in a bid evaluation process (e.g. withdraw, missed submission deadline, incomplete submission, etc.).	AC	2			AC = Date of notification of denial or date of withdraw, as applicable.			
146	5.3.009	Purchasing Requests for Information	Requests for information preliminary to the procurement of goods or service by direct purchase or bid.	AC				AC = Decision not to proceed with the Procurement.		Caution: If the request for information leads to request for proposal or bid, the request for information documentation should be retained in accordance with item number 5.3.007.	



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147	3.2.009	Purchasing 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 Manual.	
148	1.2.011	Records Center Storage Approval Forms (RMD-106)		AV							
149	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 record series title, dates of records and date destroyed or transferred.		10					CAUTION: Disposition can mean destroyed or transferred.	
150	1.2.005	Records Retention Schedule (SLR-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 permanently by the State & Local Records Management Division, Texas State Library & Archives Commission.	
151	1.2.006	Records Transmittal 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 & Information Services Division, Texas State Library & Archives Commission by the agency records administrator.			
152	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. Agency retains permanent record copy.		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.	
153	1.1.068	Reports- 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.			



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154	1.1.067	Reports and Studies (Non- Fiscal)	Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.		3				R	ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, A, R, or E. SEE page ix for more information.	
155	1.1.053	Registration Logs	Logs or similar records used to register persons appearing before state agencies as required by Chapter 2004, Government Code, including quarterly reports filed with the Texas Ethics Commission.	AC				AC = Report filed with the Texas Ethics Commission.			
156	1.2.008	Request for Authority to Dispose of State Records (RMD 102)		FE	3					Original is retained permanently by the State & Local Records Management Division, Texas State Library & Archives Commission.	
157	1.1.070	Rules, Policies & Procedures For Agency	Rules, policies, and procedures that govern an agency's programs, services, or projects distributed internally for the use of employees or externally to the public.	AC	3			AC = Completion or termination of program, rules, policies, or procedures.	R		
158	5.4.012	Security Access Records	Records relating to the issuance of keys, identification cards, building passes, passwords, signed statements or similar the 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 is sooner.			
159	5.2.019	Service Orders	Agency copy of forms completed by mechanical service personnel for installation or repair.		1						
160	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	7			AC = US + FE			
161	2.1.007	Software Programs	Automated software applications and operating system files including job control language, program listing/source code, etc.	AC				AC = Until electronic records are transferred to and made usable in a new software environment or there are no electronic records being retained to meet an approved retention period that require the software to be retrieved and read.		CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.	13 TAC 6.94



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162	2.1.009	Software Technical Documentation	Records adequate to specify all technical characteristics necessary for reading or processing of electronic records and their timely, authorized disposition	AC				AC = Until electronic records are transferred to and made usable in a new hardware or software environment with new documentation or there are no electronic records being retained to meet an approved retention period that require the documentation to be retrieved and read.		CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records	13 TAC 6.94.
163	1.1.040	Speeches, Papers, and Presentations.	Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	2			AC= End of event, until superseded, or obsolete.	R		
164	1.1.055	Strategic Plans		AC	6			AC = September 1 of odd- numbered calendar years.		Archival requirement is met by sending the required copy to Texas State Publications Depository Program, TSLAC.	
165	1.1.074	Sunset Review Report and Documentation	Sunset Review Report, agency self-study, and other correspondence and supporting documentation related to the Sunset review process for state agencies.	AC	3			AC = After the subsequent Sunset Review.	R		
166	5.5.001	Telecommunications Billing Detail (Other than Tex-AN)	In addition to summary detail, includes any accompanying detailed listing of long distance calls.	FE	3					The billing agency will maintain all long distance TEX-AN records and will provide each using agency its bill summary of centralized capitol complex telephone service without call detail records.	
167	4.7.011	Texas Facilities Commission (TFC) Statements	Charge or bill statements received by agencies from the TFC for services provided.	FE	3						
168	1.1.026	Texas Register Submissions	Copies of all proposed, withdrawn, emergency, and adopted rules; open meetings notices; or any other documents required by law to be submitted to the Texas Register.	AC	1			AC = Date of publication in the Texas Register.			
169	3.3.022	Texas Workforce Commission Reports	Reports to the agency from TWC or its predecessor pertaining to employees.		3						



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170	1.1.057	Transitory Information	Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series.	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.	
171	4.5.007	USAS Reports – Daily/Monthly	Periodic reports compiled from information entered into the Uniform Statewide Accounting System (USAS).	AC				AC = Receipt and reconciliation of annual report.			
172	5.2.022	Utility Usage Reports		AV							
173	5.4.011	Visitor Control Registers	Logs, registers, or similar records documenting visitors to limited access or restricted areas of agency facilities.		3						
174		Voided Certificates of Licensure		AC	75			AC = From date of receipt in the agency.			