



October 3, 2018

Molly Roman  
Operations Manager  
Texas Board of Professional Geoscientists  
333 Guadalupe Street, Tower I, Suite 530  
Austin, TX 78701

Re: Agency records retention schedule approved for use.

Dear Mrs. Roman,

Your agency's records retention schedule is approved for use as of October 2, 2018. Your currently approved records retention schedule is available on our website at <https://www.tsl.texas.gov/slrn/state/schedules.html>. Please ensure that all old copies of the schedule are superseded with this recertified copy.

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

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

During a certification period, changes may need to be made to your schedule. State regulations (13 TAC §6.4) also allow for the submission of amendments to the retention schedule as needed to keep the information in the schedule current. If you are not familiar with the amendment process, or if you have any other questions, please contact the Government Information Analyst assigned to your agency, Benjamin Barlow at 512-463-5448 or [bbarlow@tsl.texas.gov](mailto:bbarlow@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 read "C Kelso".

Craig Kelso  
Director and State Records Administrator

cc: Agency head

Lorenzo de Zavala  
State Archives and  
Library Building

1201 Brazos Street  
Austin, Texas  
78701

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

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

*Commission Chairman*  
Michael C. Waters

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Mark Smith

*Assistant State Librarian*  
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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 481

Agency Name Texas Board of Professional Geoscientists

(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 Charles Horton

Name (Print or type) Charles Horton

Date 3-22-2018

## 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 Gloria Chavez

Name (Print or type) Gloria Chavez

Date 10/2/18

Recertification No. \_\_\_\_\_

Amendment No. 5

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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.**



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					Years	Months	Days				
100.00	1.1.002	Audits	Audits and reviews performed by TBPG on external entities, those performed on the agency by other entities, or the agency by internal auditors.	AC	7			AC = Publication or release of final audit findings.		State Auditor's Office retains any copies of its audits performed on Texas state agencies.	
200.00	1.1.004	Legislative Appropriations Request	Including any supporting documentation created and/or used to justify and support legislative appropriations request by an agency.	AC	6			AC = September 1 of odd-numbered calendar years.	A	ARCHIVES NOTE: The archival requirement is met by sending the required copies of the requests to be Texas State Publications Depository Program, Texas State Library and Archives Commission. Only Copies of Supporting Documentation Submitted to the Legislative Budget Board are archival.	
300.00	1.1.006	Complaint Records	Complaints received by agencies from the public concerning the agency and records pertaining to the resolution of the complaint.	AC	2			AC = Final disposition of the complaint.		CAUTION: If a complaint becomes the subject of litigation, it must be included in and is subject to the minimum retention period of item number 1.1.048.	

**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  
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**Archival Codes (Field 10)**

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

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400.00	1.1.007	Correspondence - Administrative	Incoming outgoing and Internal correspondence, in any format, 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 in this schedule. For example, a memorandum that documents an appropriations request must be retained for the minimum retention period prescribed by item number 1.1.004; a letter concerning an audit for that prescribed by item number 1.1.002, etc. SEE ALSO item number 1.1.011.	

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500.00	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 polices, programs, services or projects of the agency.		2					SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.	
600.00	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		
700.00		Advisory Opinions	Advisory opinions issued by the Board according to statutory requirements, which 1) interpret the Act, or 2) apply the Act to a person in regard to a specified existing or hypothetical factual situation.	US	3				A		

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800.00	1.1.013	Calendars, Appointment and Itinerary Records	Calendars, appointment books or programs and scheduling or itinerary records, purchase this date funds or maintained by staff during business hours that document appointments, itineraries and other activities of agency officials or employees.	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 the records have met their retention periods. CAUTION: a record of this type purchase with personal funds, but use bistrate official or employee to document his or her work activities may be a state records and subject to this retention. See Open Records Decision 635 issued in December 1995 by the Atty. Gen.	

<p><b>Retention Codes (field 7)</b></p> <p>AC – See event trigger for specific records series definition          AV – Administratively valuable          CE – Calendar year end</p>	<p>FE – Fiscal year end          LA – Life of Asset          PM – Permanent          US – Until Superseded</p>	<p><b>Archival Codes (Field 10)</b></p> <p>A/I – Transfer to State/University Archivist          R/O – Review by State/University Archivist</p>
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900.00	1.1.014	Legal Opinions and Advice	From agency legal counsel or the Atty. Gen., 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.	
950.00		Memoranda of Understanding		AC	4			AC = US + FE			
1000.00	1.1.019	Public Relations Records	News, press releases, or any public relations files maintained or issued by an agency. Includes print, electronic, audio, and audiovisual records.		2				R		
1100.00	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 the Public Information Act (Chapter 552, Government Code).	AC	1			AC = Date request fulfilled.			

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1200.00	1.1.021	Public Information Requests - Exempted	Includes all correspondence and documentation relating to requests for records that are exempted under the Public Information Act (Chapter 552, Government Code).	AC	2			AC = Date of notification that records are exempt.			
1300.00	1.1.023	Organization Charts		US					A		
1400.00	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.	
1600.00	1.1.026	Texas Register Submissions	Copies of all propose, withdrawn, emergency, and adopted rules; open meeting notices; or any other documents required by the law to be submitted to the Texas Register.	AC	1			AC = Date of publication to the Texas Register.			
1700.00	1.1.027	Proposed Legislation	Drafts of proposed legislation and related correspondence.	AV							

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1800.00	1.1.038	Customer Surveys	Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC				AC = Final disposition of summary report.		SEE item number 1.1.067 for summary reports compiled from customer surveys.	
1900.00	1.1.040	Speeches, Papers and Presentations	Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC				AC = End of term in office or termination of service in a state position.	R		
2000.00	1.1.041	Suggestion System Records	Suggestions Submitted by Agency Personnel and Responses.		1						
2200.00	1.1.048	Litigation Files	Records created by or on behalf of an agency in anticipation of or in the adjudication of a lawsuit. Includes State Office of Administrative Hearings (SOAH) pre-litigation, trial courts and appeals.	AC	20			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	ARCHIVES NOTE: Cases that set legal precedents or exhibit historical value will be evaluated by the Archives and Information Services Division of the Texas State Library and Archives Commission for archival preservation.	

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					Years	Months	Days				
2300.00	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 = Reports filed with the Texas Ethics Commission.			
2400.00	1.1.055	Strategic Plans	Information resources and operational strategic plans prepared in accordance with §2054.095 and §2056.002, Government Code.	AC	6			AC = September 1 of odd-numbered calendar years.	A	ARCHIVES NOTE: The archival requirement is met by sending the required copies of the plans to the Texas State Publications Depository Program, Texas State Library and Archives Commission.	
2500.00	1.1.056	ADA (Americans with Disabilities Act) Documentation	Self evaluations and plans documenting compliance with requirements of the Americans with Disabilities Act.		3						28 CFR 35.105 (c).

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					Years	Months	Days				
2600.00	1.1.057	Transitory Information	Records of temporary usefulness that are not an integral part of a record series of an agency, that are not regularly filed with an agency's record-keeping system, and that are required only for a limited period time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing record series. Transitory records are not essential to the firm and statutory obligations documentation of agency functions. Some examples of transitory information, which can be in any medium (voicemail, fax, email, hardcopy, etc.) are routine messages; telephone message notification; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routing information used for communication, but not for the documentation, of a specific agency transaction	AC				AC = Purpose of record has been fulfilled.		CAUTION: Records management officers should use caution in assigning this record series item number to records of an agency to make certain they are not part of another record series listed in this schedule or, for record series unique to an agency, are not part of a record series that documents the government of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction authorizations (1.2.001) or in records disposition logs (1.2.010)but agencies should establish procedures governing disposal of these records as part of its records management plan (1.2.014).	

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					Years	Months	Days				
2900.00	1.1.058	Meeting Agenda and Minutes	Official agenda and minutes of state boards, committees, commissions, and councils that conduct open meetings as required by Government Code, Chapter 551.	PM					A	ARCHIVES NOTE: Agency retains permanent record copy. The Archive requirement will be met by sending a copy to the Archives and Information Service Division, Texas State Library and Archives Commission. CAUTION: This record 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 Biannual 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 administrating agency.	

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3000.00	1.1.059	Meetings, Certified Agendas or Tape Recordings of Closed	Certified agendas or tape recordings of closed meetings of state boards, commissions, committees, and councils.	AC	2			AC = The date of meeting or completion of pending action involving the meeting, whichever is later.		SEE caution comment at item number 1.1.058.	Government Code, 551.104 (a).
3100.00	1.1.060	Meetings, Audio or Videotapes of Open	Audio or videotapes of open meetings of state boards, commissions, committees, and councils.	AC			90	AC = Approval of the final minutes by the governing body.		CAUTION: Minutes are permanent, and audio and video tapes are not permanent media. K15SEE caution comment at item number 1.1.058.	
3200.00	1.1.061	Meetings - Notes	Notes taken during open meetings of state boards, commissions, committees, and councils from which written minutes are prepared.	AC			90	AC = Approval of the formal minutes by the governing body.		SEE caution comment at item number 1.1.058.	

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3300.00	1.1.062	Meetings - Supporting Documentation	Documents submitted at meetings of state boards, commissions, committees and councils including exhibit items, documentation for agenda items, etc. Includes documentation sent in advance of meetings for briefing purposes, some of which may not be submitted at an actual meeting.		2				A	SEE caution comment at item number 1.1.058.	
3400.00	1.1.063	Staff Meeting Minutes and Notes	Minutes or notes, and supporting documentation, taken at internal agency staff meetings.		1						
3500.00	1.1.064	Agency Performance Measures Documentation	Any records of an agency needed for the documentation of output, outcome, efficiency, and explanatory measures in agencies 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. For a record series and this schedule if the record series is needed for documentation of agency performance measures.	
3600.00		Source Documents to Register Firms	Includes applications and other source documents for licensing/registering firms.	AC				AC = The point in time at which a license is no longer renewable by rule.		Source documents are relevant as long as the licenses current or eligible to be renewed.	

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3700.00		Source Documents to License Individuals	Applications, academic transcripts, resumes, verification of licensure forms, licensing examination scores, and other supporting documentation. Does not include letters of reference.	AC				AC = The point in time at which a license is no longer renewable by rule.		Source documents are relevant as long as a licenses current or eligible to be renewed.	
3800.00		Letters of Reference - Applicant	Professional and personal letters of reference provided with an application for a license.	AC				AC = After license or certification is issued.		SEE also Agency Item Number 3700.00.	
4100.00		Complaint Source Documents	Complaints filed against regulated licensees or registrants, as well as complaints against unregistered or unlicensed practitioners of regulated entities.	AC	5			AC = Complaint closed.			
6300.00	1.1.066	Reports - Biennial or Annual Agency (Narrative)	Biennial narrative reports to the Gov. 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.	

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6400.00	1.1.067	Reports and Studies (Non-Fiscal)	Annual, sub-annual, or special reports or studies in 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 record series by each type of archival coding, A,R, or E. SEE "Texas State Records Retention Schedule" on page ix for more information.	
6500.00	1.1.068	Reports on Performance Measures	Quarterly and annual reports on agency performance measures submitted to the executive and legislative offices.	AC	6			AC = September one of odd-numbered calendar years.			

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6700.00	1.1.070	Agency Rules, Policies, and Procedures - Final	Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC	3			AC = Completion or termination of program, rules, policies, or procedures.	R	SEE ALSO Agency Rules, Policies and Procedures - Working Files; 1.1.071.	
6750.00	1.1.071	Agency Rules, Policies, and Procedures - Working Files	Working files used in the development of manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC	3			AC = Completion or termination of program, rules, policies, or procedures.	R	SEE ALSO Record Series Item Number 1.1.070.	
6800.00	1.1.072	Public Information Reports	Reports made to the office of the Atty. Gen. on an agency's Public Information Act activities.		2						

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A/I – Transfer to State/University Archivist  
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					Years	Months	Days				
6850.00	1.1.073	Administrative Hearings	Transcripts and final decisions of hearings conducted as part of the regulatory process, and hearings on propose rules and changes. The records may be maintained with related information including meeting notices, proofs of publication, and meeting minutes.	AC	3			AC = Last action.	R		
6900.00	1.1.074	Sunset Review Report and Documentation		AC	3			AC = After the subsequent Sunset Review.	R		
6920.00	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 = Data final agreement.			Texas Civil Practice and Remedies Code, Chapter 154.071.
6930.00	1.2.001	Destruction Authorizations	Agency level documents authorizing final disposition of records under a certified records retention schedule.	FE	3						

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6940.00	1.2.003	Forms History File	Print masters of original version and all subsequent revisions to an agency form, including any associated design or design modification requests.	AC	1			AC = Discontinuance of use of form.			
6950.00	1.2.004	Forms Inventory	Any periodic listing of all forms used internally or externally by an agency.	US							
7000.00	1.2.005	Records Retention Schedule (SLR 105)	Agency copy. Formally RMD 105. Includes documentation of certification and approval - forms SLR 105C (formerly RMD 105C), and/or other forms designated by the State Records Administrator.	US						Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission.	
7100.00	1.2.006	Records Transmittal Forms	Agency copy (includes RMD 101, Tx-R-5, 306-58-1, and Agency Storage Forms). Forms indicate records transferred to storage or a transfer of legal custody.	AC	2			AC = Date of authorization for destruction, permanent transfer from storage, or transferred to the Archives and Information Services Division, Texas State Library and Archives Commission, by the agency records management officer.			

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7200.00	1.2.008	Request for Authority to Dispose of State Records (RMD 102)	Agency copy.	FE	3					Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission.	
7300.00	1.2.010	Records Disposition Logs	Logs or similar records listing records destroyed or transferred to the Archives and Information Services Division, Texas State Library and Archives Commission, showing record series title, dates of records, and date destroyed or transferred.		10						
7400.00	1.2.012	Records Inventory Worksheets		US							
7500.00	1.2.013	Records Control Locator Aids	Includes indexes, card files, shelf lists, registers, guides, etc.	AC				AC = When control aid is updated, revise, or no longer needed.			
7600.00	1.2.014	Records Management Plans	Records management plans and similar records that establish the policies and procedures under which records and information are managed in an agency.	US	1						

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7900.00	1.3.001	State Publications	One copy of each state publication as defined in page xi of the introduction of the "Texas State Records Retention Schedule, 4th edition," dated 9/1/2007, except a publication that is subject to a different retention period in this schedule. For example, a meeting agenda (see item number 1.1.058) also meets the definition, but it must be retained permanently; item numbers 1.1.004, 1.1.055, 1.1.066, 1.1.068 and 4.5.003, which also meets the definition, are closely associated with the appropriations process and must be retained AC + 6.	AC	2			AC = Until superseded or obsolete.		CAUTION: State publications must be submitted to the Texas State Publications Depository Program, Texas State Library and Archives Commission by law (Gov't Code 441.101 - 441.106). The Texas State Library and Archives Commission will retain a copy of all state publications submitted to it on a continuing basis, subject to periodic evaluation to determine if the publication merits further retention.	
8000.00	1.3.002	Publication Development Files	Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV					R		

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8100.00	2.1.001	Processing Files	Machine-readable files used in the creation, utilization, and updating of master files, including printing, raw data input, maintenance and test, working and transactional files.	AC				AC = Completion of 3rd verification cycle, or audit completion confirming successful transaction processing, or required audit trail maintenance, or the ability to restore or migrate when errors are detected or when hardware or software changes occur.		Exceptions: a) Raw data input for source file which replaces or serves as the basis source document in lieu of a textural or other source document - follow the retention, or as long as administrative valuable, whichever is longer. b) Routine or benchmark date file used in testing a system program- as long as administratively valuable. c) File which facilitates processing of a particular job or system run, but which does not add to, delete from, or modify information in a master file- as long as administratively valuable. CAUTION: Records management officers must be certain before assigning the retention period of AC to agency automated processing files that the files do not fall under record series listed elsewhere.	

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8200.00	2.1.002	Master Files	Relatively long-lived computer files containing organized and consistent sets of complete and accurate electronic records. Examples include, but are not limited to, data tables of relational databases used by applications or computer programs.	AC				AC = Completion of 3rd verification cycle, or audit completion confirming successful transaction updates, or required audit trail maintenance, or the ability to restore or migrate when errors are detected or when hardware or software changes occur.		CAUTION: Records management officers must be certain before assigning the retention period of AC to agency automated processing files that the files do not fall under record series listed elsewhere.	
8300.00	2.1.007	Software Programs	Automated software applications and operating system files including job control language, program listings/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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8400.00	2.1.008	Hardware Documentation	Records documenting operational and maintenance requirements of computer hardware such as operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems.	AC				AC = until electronic records are transferred to and made usable in a new 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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8500.00	2.1.009	Technical Documentation	Records adequate to specify all technical characteristics necessary for reading or processing of electronic records and their timely, authorized disposition including documentation describing how a system operates and necessary for using the system, such as user guides, system or subsystem definitions, system specs, input and output specs, and system flowcharts; program descriptions, program flowcharts, program maintenance logs, change notices, and other records that document modifications to computer programs; data documentation necessary to access, retrieve, manipulate, and interpret data in an automated system such as a data element dictionary, file layout, codebook or table, and other records that explain the meeting, purpose, structure, logical relationships, and origin of the data elements.	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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8600.00	2.1.010	Audit Trail Records	Files needed for electronic data audit such as files or reports showing transactions excepted, rejected, suspended, and/or processed; history files/tapes; records of on-line updates to application files or security logs.	AC				AC = All audit requirements have been met.			
8700.00	2.1.011	Finding Aids, Indexes, and Tracking Systems	Automated indexes, lists, registers, and other finding aids used provide access to records.	AC				AC = The related records have been destroyed.		CAUTION: These records must carry the same retention period and archival code of the records they support.	
8800.00	2.2.010	Data Processing Policies and Procedures	Manuals, guidelines, or similar documents establishing data processing policies and procedures in an agency in such areas as access and security, systems development, data retention and disposition, data ownership, production control, system back-up, etc.	US	3					CAUTION: Does not include technical documentation of procedures necessary for reading or processing of electronic records. SEE item number 2.1.009.	

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9000.00	2.2.011	Batch Data Entry Control Records	Forms and logs used to reconcile batches submitted for processing against batches received and processed.	AC				AC = When reconciliation confirmed.			
9100.00	2.2.013	Quality Assurance Records	Information verifying the quality of system, hardware, or software operations including records of errors or failures and loss of data resulting from such failures, documentation of abnormal termination and of error-free processing, checks of changes put into production, transaction histories, and other records needed as an audit trail to evaluate data accuracy.	AC				AC = No longer needed as an audit trail for any records modified.			

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9200.00	2.2.014	Internet Cookies	Data resident on hard drives that make use of user-specific information transmitted by the Web server into the user's computer so that the information might be available for later access by itself or other servers.	AV						The disposal of Internet cookies need not be documented through distraction authorizations (1.2.001) or in records disposition logs (1.2.010), but but agencies should establish procedures governing disposal of these records as part of its records management plan (1.2.014).	
9300.00	2.2.015	History Files - Websites	A record of the documents visited during an Internet session that allows users to access previously visited pages more quickly or to generate a record of usage of state-owned computer.	AV						The disposal of history files need not be documented through distraction authorizations (1.2.001) or in records disposition logs (1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (1.2.014).	

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9400.00	2.2.016	Software Registrations, Warranties and License Agreements		LA	3						
9500.00	3.1.001	Applications for Employment - Not Hired	Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.		2						29 CFR 1602.31.
9600.00	3.1.002	Application for Employment - Hired	Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.	AC	5			AC = Termination of employment.			

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					Years	Months	Days				
9700.00	3.1.006	Employee Counseling Records	Notes, memoranda, or reports relating to the counseling of an employee for work-related, personal, or substance abuse problems. Usually maintained at the supervisory level except in those agencies with counseling staff.	AC	3			AC = Termination of counseling.			
9800.00	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.	
9900.00	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.
9950.00	3.1.013	Employment Contracts									Government Code, 441.1855
9960.00	3.1.013	Employment Contracts	a) Executed, renewed, or amended on or after September 1, 2015.	AC	7			AC = Expiration or termination of the contract according to its terms.			

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9970.00	3.1.013	Employment Contracts	a) Executed, renewed, or amended on or before August 31, 2015.	AC	4			AC = Expiration or termination of the contract according to its terms.			
10000.00	3.1.014	Employment Selection Records	Includes notes of interviews with candidates, questions asked of applicants, audio and videotapes of job interviews, driving record and previous injury checks, pre-employment physical examinations, pre-employment drug screening test results, polygraph examination results; and all other records that document the selection process.		2					CAUTION: Does not include criminal history checks. SEE item number 3.1.026.	29 CFR 1602.31.
10100.00	3.1.018	Grievance Records	Records relating to the review of employee grievances against personnel policies, working conditions, etc.	AC	2			AC = Final decision on the grievance.		CAUTION: Does not include formal complaints filed by an agency employee with the Equal Employment Office (EEO) of the US Department of Labor. SEE Item Number 1.1.048.	
10200.00	3.1.019	Performance Appraisals			2						29 CFR 1620.32 (c).

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10300.00	3.1.020	Personnel Corrective Action Documentation	Corrective actions are those actions which do not affect pay, status, or tenure and are imposed to correct or improve an employee's job performance.	AC	5			AC = Termination of corrective action.		CAUTION: If, during the retention period of this record series, any part of this series is used to document and support personnel disciplinary action under item number 3.1.021, all documentation from the series used to support disciplinary action must be retained for the minimum retention period described by number 3.1.021.	

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10400.00	3.1.021	Personnel Disciplinary Action Documentation	Disciplinary actions are those actions which may affect pay, status, or tenure. They are imposed to discipline an employee whose conduct is harmful to the best interests of the state, the agency, or the employee workforce; and for failure to improve performance or conduct following imposition of corrective action. They include cause for demotion, suspension, or dismissal, and the reasons for failure to give written notice of resignation. They also be used to document evidence of employee self-improvement efforts, as well as favorable and unfavorable communication.	AC	5			AC = Termination of employment			

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10500.00	3.1.022	Personnel Information or Action Forms	Forms or similar records used to create or change information concerning the records of an employee including paygrade, position classification, employee number, evaluation date, and termination of employment.		2						29 CFR 1602.31.
10600.00	3.1.023	Position/Job Descriptions	Job descriptions, including all associated task or skill statements, for positions in an agency.	AC	4			AC = Until superseded or job eliminated.			40 TAC 815.106 (i).
10625.00	3.1.024	Physical Examination/Medical Reports	Medical or physical examination reports or certificates of employees for whom periodic monitoring of health or fitness is required.	AC	2			AC = Until superseded or termination of employment.		CAUTION: Does not include pre--employment physical examinations. SEE item number 3.1.014.	

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10650.00	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 agencies legislation or see Subchapter F, Chapter 411, Government Code for appropriate retention and use of this information.	
10700.00	3.1.027	Training and Educational Achievement Records (Individual)	Certificates of completion, transcripts, test scores, or similar records documenting the training, testing, or continuing education achievements of an employee.	AC	5			AC = Termination of employment.			

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					Years	Months	Days				
10800.00	3.1.029	Employment Eligibility, Documentation or Verification of	Federal reporting form (INS I-9).	AC	1			AC = Termination of employment.		CAUTION: Federal regulation requires that INS I-9 forms be retained for 3 years from date of hire or 1 year after separation of employee, which ever is later. Agencies should make certain that 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)
10900.00	3.1.031	Employee Benefits - Other than Insurance	Agency copies of information relating to the selection of available benefit options other than insurance.	AC	2			AC = Until superseded or termination of employment.		CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item number 3.2.001.	

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A/I – Transfer to State/University Archivist  
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					Years	Months	Days				
11000.00	3.1.034	Resumes - Unsolicited	Retention period applies if an agency replies to the sender of a resume that it will be kept on file should future job openings occur.	AV						SEE item number 3.1.014 for resumes, whether solicited or unsolicited, that are used in any way in the employment selection process.	
11100.00	3.1.037	Employee Recognition Records	Awards, incentives, tenure, etc.	AC	5			AC = Termination of employment.			
11200.00	3.1.038	Public Access Option Form	Form completed and signed by employee or official, or former employee or official, electing to keep home address, home telephone number, Social Security number, and family information open or confidential under the Public Information Act, Government Code §552.024.	US						SEE item number 3.3.011.	
11300.00	3.2.001	Employee Deduction Authorizations	Documentation used to start, modify, or stop all voluntary or required deductions from payroll, including garnishment or other court-ordered attachments.	AC	4			AC = After termination of employee or after amendment, expiration, or termination of authorization, which ever is sooner.			

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					Years	Months	Days				
11400.00	3.2.002	Employee Earnings Records			4						40 TAC §815.106 (i).
11500.00	3.2.003	Federal Tax Records	Includes 1099s, W-2, 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).
11600.00	3.2.004	Income Adjustment Authorizations	Used to make increases or decreases to employee's gross pay, FICA, retirement, or in the computation of taxes.		2						29 CFR 5, 16.6 (c).
11700.00	3.2.005	W-4 Forms	Employers copy of "Employees Withholding Exemption Certificate."	AC	4			AC = Until superseded, obsolete, or upon separation of employee.			26 CFR 31.6001-1 (e) (2).
11900.00	3.2.007	Unemployment Compensation Records		AC	5			AC = After settled.			
12000.00	3.2.008	Direct Deposit Application/Authorizations		US							

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					Years	Months	Days				
12100.00	3.2.009	State Deferred Compensation Records		AC	5			AC = All accounts with a vendor or vendor words for the individual participants have been closed.		For instructions regarding the determination of the closure of accounts and for additional information regarding the retention. See the most current edition of the "Benefits Coordinator Reference Manual" Issued by the Employees Retirement System of Texas.	
12150.00	3.2.010	Human Resources Information System (HRIS) Reports	Includes supporting documentation.	AC	4			AC = After settled.			
12300.00	3.3.001	Affirmative Action Plans	Affirmative action plans for both regular employees and apprenticeship programs.		5						29 CFR 30.8 (e) for apprenticeship plans
12400.00	3.3.004	Benefit Plans	Employee benefit plans such as pension; life, health, and disability insurance; deferred compensation; etc., including amendments.	US	1						29 CFR 1627.3 (b) (2).

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					Years	Months	Days				
12500.00	3.3.011	Former Employee Verification Records	Minimum information needed to verify employment, includes name, Social Security number, exact dates of employment, last known address and most recent public access option form.	AC	75			AC = Termination of employment.		SEE item number 3.1.038.	
12700.00	3.3.015	Position/Job Classification Review File	Records relating to review and monitoring of job classifications within an agency.	US	3						
12800.00	3.3.020	Work Schedule/Assignments	Work, duty, shift, crew, or case schedules, rosters, or assignments.		1						
12850.00	3.3.022	Texas Workforce Commission (TWC) Reports	Reports to the agency from TWC or its predecessor pertaining to employees.		3						
12900.00	3.3.023	Reimbursable Activities, Requests and Authorizations to Engage in	Requests and authorizations for travel; participation in educational programs, workshops, or college classes; or for other work-related activities for which the expenses of the employee are defrayed or reimbursed.	FE	3						

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					Years	Months	Days				
13000.00	3.3.024	Personnel Policies and Procedures	Any internally distributed manuals, guidelines, or similar records that define agencywide policies and procedures concerning the personnel of an agency.	US	3						
13050.00	3.3.025	Job Procedure Records	Any documents detailing the procedural duties and responsibilities of agency positions on a position-by-position basis.	US	3						
13100.00	3.3.026	Agency Staffing Reports	Any reports compiled by an agency on aspects of personnel staffing, including listings of all staff by program or name, staff hired during a month, detailed listings of employees within its organizational structure, position vacancies, analyses of turnover rates and seasonality of employment, etc.	US	3						
13400.00	3.3.031	EEO Reports and Supporting Documentation	Includes documentation used to complete EEO reports.		3						29 CFR 1602.32, .39, .41, .48, and .50.

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					Years	Months	Days				
13450.00	3.3.033	Equal Pay Records	Reports, studies, aggregated or summary data, and similar documentation compiled to monitor and demonstrate compliance with the Federal Equal Pay Act.		3						29 CFR 1620.32.
13600.00	3.4.001	Accumulated Leave Adjustment Requests	Used to create employee leave balances, to transfer leave balances when an employee transfers positions, to adjust carrying-over balances on August 31, to correct errors on leave accumulation, and close out leave accounts on separated employees.	FE	3						
13700.00	3.4.002	Leave Status Reports	Cumulative report is issued each pay cycle and provides employee leave status information for each position.	FE	3						
13900.00	3.4.004	Overtime Authorizations			2						
14100.00	3.4.00	Timecards and Timesheets			4						40 TAC §815.106 (i).
14200.00	3.4.007	Time Off and/or Sick Leave Requests		FE	3						

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					Years	Months	Days				
14300.00	3.4.008	Sick Leave Pool Documentation	Requests submitted, approvals, number of hours transferred in and out, etc.	FE	3						
14400.00	4.1.001	Accounts Payable Information		FE	3						
14500.00	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.	
14600.00	4.1.003	Canceled Checks/Stubs/Warrants/Drafts		FE	3						
14700.00	4.1.004	Encumbrance Detail		FE	3						
14800.00	4.1.005	Inventory and Other Cost Files	Production, job, labor, quotes, pricing, specifications, etc.	FE	3						
14900.00	4.1.007	Transfers, or Budget Revisions	Transfers or adjustment to budgets.	FE	3						
14950.00	4.1.008	Electronic Funds Transfers	Direct Deposit Registers	FE	3						
15000.00	4.2.001	Cash Deposit Vouchers	Cash deposit slips.	FE	3						
15100.00	4.2.002	Cash Receipts	Includes receipts for fees (permits, licenses, renewals, etc.).	FE	3						

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					Years	Months	Days				
15200.00	4.2.003	Daily Cash Receipts Logs		FE	3						
15300.00	4.2.004	Encumbrance Vouchers	Orders, statements, change orders, etc.	FE	3						
15400.00	4.2.005	Purchase Vouchers	Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE	3						
15500.00	4.2.006	General Journal Vouchers		FE	3						
15600.00	4.2.007	Expenditure Vouchers	Travel, payroll, etc.	FE	3						
15700.00	4.3.001	Sales Journals or Registers		FE	3						
15800.00	4.3.002	Receipts, Journals or Registers		FE	3						
15900.00	4.3.003	Expenditures Journals or Registers		FE	3						
16000.0	4.4.001	General and Subsidiary Ledgers		FE	3						
16100.00	4.4.002	Accounts Receivable Ledgers		FE	3						

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					Years	Months	Days				
16200.00	4.4.003	Accounts Payable Ledgers		FE	3						
16400.00	4.5.001	Worksheets for Preparing Fiscal Reports		FE	3						
16500.00	4.5.002	Internal Fiscal Management Reports	Includes agency monthly budget reports.	FE	3						
16600.00	4.5.003	Annual Financial Reports	Required by the General Appropriations Act (100 Day Report).	AC	6			AC = September 1 of odd-numbered calendar years.		CAUTION: If an agency does not produce a biannual or annual narrative report as described in item number 1.1.066, then these annual financial reports must be marked with Archival Code A. The archival requirement, when a biannual or annual narrative report is not produce, is met by sending the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission.	

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					Years	Months	Days				
16700.00	4.5.005	External Fiscal Reports	Special purpose-i.e. federal financial reports, salary reports, etc. Includes HUB reports.	FE	3						
16800.00	4.5.006	Annual Operating Budgets	Required by the General Appropriations Act.	FE	3						
16850.00	4.5.007	USAS Reports - Daily		AC				AC = Receipt and reconciliation of monthly report			
16900.00	4.5.008	USAS Reports - Monthly		AC				AC = Receipt and reconciliation of annual report.			
16950.00	4.5.009	USAS Reports - Annual		FE	3						
16975.00	4.6.001	Balancing Records		FE	3						
17000.00	4.6.002	Reconciliations		FE	3						
17100.00	4.6.003	Cash Counts		FE	3						
17200.00	4.7.001	Accounting Policies and Procedures Manual		US	3						
17300.00	4.7.002	Bank Statements		FE	3						
17400.00	4.7.003	Returned Checks/Warrants/Drafts (Uncollectable)		AC	3			AC = After deemed uncollectible.			
17500.00	4.7.004	Capital Asset Records		LA	3						

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					Years	Months	Days				
17600.00	4.7.005	Claim Files		AC	3			AC = Resolution of the claim.			
17700.00	4.7.007	Detailed Chart of Accounts	One for all accounts in use for a fiscal year.	FE	3						
17800.00	4.7.009	Fixed Asset Sequential Number Logs		US	3						
18100.00	4.7.011	Texas Facilities Commission (TFC) Statements	Charge or or bill statements received by agencies from the TFC for services provided.	FE	3						
18200.00	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 of an agency.	AC	3			AC = US + FE			

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					Years	Months	Days				
18300.00	5.1.001	Contracts and Leases	Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence.								Government Code, 441.1855
18310.00	5.1.001	Contracts and Leases	a) Executed, renewed, or amended on or after September 2, 2015.	AC	7			AC = Expiration or termination of the instrument according to its terms.			
18320.00	5.1.001	Contracts and Leases	b) Executed, renewed, or amended on or before August 31, 2015.	AC	4			AC = Expiration or termination of the instrument according to its terms.			
18500.00	5.1.003	Delivery Reports			2						

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18600.00	5.1.004	Mail and Telecommunication 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							
18700.00	5.1.005	Postage Records	Records and reports of postage expenses, including postal meter usage.	FE	3						
18800.00	5.1.014	Office Procedures	Any internally distributed manuals, guidelines, or similar records that establish standard office procedures for an agency; for example, agency style manuals, telephone protocols, mailroom procedures, printshop and photocopy ordering instructions.	US	1						
18900.00	5.2.004	Building Space Requests			1						
19000.00	5.2.006	Property Destruction, Certificates of		FE	3						
19100.00	5.2.007	Damage Reports	Reports of damage to state property.	FE	3						

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20100.00	5.2.008	Equipment History/Service Agreements	Agreements or contracts between the agency and equipment vendor to provide maintenance service for equipment. 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 5.1.001.	
20200.00	5.2.009	Equipment Inventory Detail Report Forms	Updates agency portion of the inventory listing and adds, changes, transfers or deletes items from inventory.	FE	3						
20300.00	5.2.010	Equipment Manuals		LA							
20400.00	5.2.011	Equipment Warranties		AC	1			AC = Expiration of warranty.			
20500.00	5.2.014	Inventory - Annual Physical	Property, equipment, supplies verification.	FE	3						
22400.00	5.3.008	Purchasing Logs	Log, register, etc., providing a record of purchase orders issued, orders received, and similar data on procurement status.	FE	3						

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					Years	Months	Days				
22500.00	5.3.009	Requests for Information	Requests for information preliminary to the procurement of goods or services 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.	
22600.00	5.4.001	Accident Reports and Associated Documentation	Accident or occupational disease reports (by supervisors and employees) and other associated reports required to be submitted to the Texas Department Of Insurance or its predecessors or maintained internally on accident frequency.	CE	5					The Texas State Department Of Insurance retains copies of the reports submitted to it for 50 years.	29 CFR 1904.33.
22700.00	5.4.002	Evacuation Plans	Plans for evacuation of agency facilities in cases of emergency.	US							
22800.00	5.4.003	Inspection Records	Fire, safety, and other inspection records of agency facilities and equipment.	AC	3			AC = Inspection, or date of 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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					Years	Months	Days				
22900.00	5.4.004	Fire Orders	Orders issued by Fire Marshal to correct deficiencies in compliance with the fire code.	AC	3			AC = Deficiency corrected.			
23000.00	5.4.007	Hazardous Materials Training Records	Records of training given employees in an agency hazard communications program.		5						Texas Health and Safety Code, 502.009 (g).
23400.00	5.4.011	Visitor Control Registers	Logs, registers, or similar records documenting visitors to limited access or registered areas of agency facilities.		3						
23500.00	5.4.012	Security Access Records	Records relating to the issuance of keys, identification cards, building passes, passwords, signed statements or similar instruments of access to agency or state facilities, equipment or automated systems.	AC	2			AC = Until superseded, the date of expiration, or date of termination, which ever sooner.			
23600.00	5.4.013	Disaster Preparedness and Recovery Plans		US							
23700.00	5.5.001	Billing Detail - Telecommunications (Other Than TEX-AN)	In addition to summary detail, includes any accompanying detailed listing of long-distance calls.	FE	3					SEE item number 5.5.006 for TEX-AN billing detail.	

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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				
23800.00	5.5.002	Long-Distance Telephone Logs	Log distance logs created by agencies for internal documentation purposes. Includes any similar logs created for long-distance facsimile or electronic transmissions.	AV							
24000.00	5.5.003	Station Activity Reports	Internal listing of incoming/outgoing telephone activity to individual telephone stations.	AV							
24100.00	5.5.004	System Activity Reports	Internal listing of all incoming/outgoing agency telephone activity.	AV							

**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

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24200.00	5.5.006	Billing Detail - Telecommunications (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 bills summary of centralized capital complex telephone service without call detail records. For those bills summaries, SEE item number 4.7.011. SEE item number 5.5.0014 billing detail from carriers other than TEX-AN.	
24300.00	5.5.007	Disputed Call Documentation	Documentation relating to disputed long-distance calls, including documents evidencing repayment by employees for personal long distance use.	FE	3						
25000.00	5.6.004	License and Driving Records Checks		AC				AC = Until superseded or until termination of employment.			

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