

August 27, 2020



Jennifer Hertsenberg
Operations Manager
Texas Board of Chiropractic Examiners
Hobby Bldg, 333 Guadalupe, Ste 3-825
Austin, TX 78701

Dear Jennifer Hertsenberg,

Amendment 3 of the 7th recertification of your agency's records retention schedule is approved for use as of **8/4/2020** and 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.

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

Thank you again for your commitment to complying with state records management laws and regulations. If we can provide any assistance to you, please contact the Government Information Analyst assigned to your agency:

Joslyn Ceasar
512-463-5477
jceasar@tsl.texas.gov

Sincerely,

A handwritten signature in blue 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

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Martha Wong

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F. Lynwood Givens
Larry G. Holt
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Bradley S. Tegeler
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Director and Librarian
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Assistant State Librarian
Gloria Meraz

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 508
Agency Name Texas Board of Chiropractic Examiners

(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 [Handwritten Signature]
Name (Print or type) Jennifer Hertsenber

Date 06/05/2020

Section 2. Approvals

(Submitting agencies do not write in this section)

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

Not Required at This Time

Signature
Name (Print or type)
Date

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

Signature [Handwritten Signature]
Name (Print or type) Gloria Meraz
Date 8-4-2020

Cert/Recert No. 6 Amendment No. 3

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 122
Rev. 2017-07

Retention Codes (field 7)

AC – See field 9 for specific records series definition
AV – Administratively valuable
CE – Calendar year end

FE – Fiscal year end
LA – Life of Asset
PM – Permanent
US – Until Superseded

Archival Codes (Field 10)

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

1. Agency Code: 508		2. Agency Name: Texas Board of Chiropractic Examiners													
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations	13. N, C, O	14. Current AIN		
					Years	Months	Days								
1.140	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	ARCHIVES NOTE: Only speeches, papers, and presentations given by or on behalf of executive staff, board or commission members, division directors and program heads require archival review.		C	1.140		
1.203	1.2.003	Forms History and Maintenance	Master versions of all forms used internally and externally by the agency, including subsequent revisions to an agency form or any associated design or design modification requests.	AC	2			AC= Until superseded or use of form is discontinued.				C	1.203		
1.204	1.2.004	Forms Inventory	Any periodic listing of all forms used internally or externally by an agency.	AC	2							C	1.204		
4.502	4.5.002	Fiscal Management Reports	Internal and external periodic fiscal management reports and associated worksheets, including federal financial reports, salary reports, HUB reports, investment performance reports, etc.	FE	5					CAUTION: This series does not include fiscal reports created to fulfill grant requirements. See RSIN 4.7.008.		C	4.502		
4.501	4.5.001	Worksheets for Preparing Fiscal Reports		FE	5							C	4.501		
4.505	4.5.005	External Fiscal Reports	Special purpose - i.e. federal financial reports, salary reports, etc. Includes HUB Reports.	FE	5							C	1.505		
4.706	4.7.006	Comptroller Statements		FE	5							C	4.706		
4.712	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	4			AC= Until superseded, date of expiration, or termination of employee, whichever sooner.				C	4.712		



August 3, 2017

Jennifer Hertsenberg
Operations Manager
Board of Chiropractic Examiners
Hobby Bldg., 333 Guadalupe, Ste. 3-825
Austin, TX 78701

Re: Agency records retention schedule approved for use.

Dear Ms. Hertsenberg,

Lorenzo de Zavala
State Archives and
Library Building

Your agency's records retention schedule is approved for use as of July 17, 2017. 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.

1201 Brazos Street
Austin, Texas
78701

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.

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

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 July 2022.

www.tsl.texas.gov

Commission Chairman
Michael C. Waters

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, Joshua Clark at 512-936-0270 or jclark@tsl.texas.gov.

Members

Sharon L. Carr
F. Lynwood Owens
Larry G. Holt
Rosalita Mata-Barrera
Wm. Scott McAfee
Martina Wong

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.

Director and Librarian
Mark Smith

Sincerely,

Assistant State Librarian
Gloria Marez

Craig Kelso
Director and State Records Administrator

cc: Agency head

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 508
Agency Name Texas Board of Chiropractic
Examiners

(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) Bryan Snoddy (Interim Executive Director)

Date September 8, 2015

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)

Donna Osborne

Date

7/17/17

Cert/Recert No.

7

Amendment No. _____

CAUTION

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

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



STATE OF TEXAS

Records Retention Schedule

1. Agency Code: 508		2. Agency Name: TEXAS BOARD OF CHIROPRACTIC EXAMINERS											
3. Agency Item	4. Record Series Item No.	5. Record Series Title	6. Description	7. Retention Period			8. Event Based	9. Event Trigger	10. Archival	11. Remarks	12. Legal Citations	13. N, C, S, O	
				Years	Months	Days							
1.102	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.	7			AC	AC = Publication or release of final audit findings.		The State Auditor's Office retains any copies of its audits performed on Texas state agencies.			
1.104	1.1.004	Legislative Appropriations Requests	Including any supporting documentation created and/or used to justify and support legislative appropriations requests by an agency.	6			AC	AC = September 1 of odd-numbered calendar years.	A	The archival requirement is met by sending the required copies of the requests to the Texas State Publications Depository Program, Texas State Library and Archives Commission. Only copies of supporting documentation submitted to the Legislative Budget Board are archival.			
1.106	1.1.006	Complaint Records	Complaints received by an agency from the public concerning the agency and records pertaining to the resolution of the complaint	2			AC	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 agency item number 1.148.			
1.107	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			FE		R	<p>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.</p> <p>CAUTION: This records series and item number 1.108 should be used only for correspondence that is not included in or directly related to another records series on the agency's approved schedule. For example, a memorandum that documents an appropriations request must be retained for the minimum retention period prescribed by item number 1.104; a letter concerning an audit for that prescribed by item number 1.102, etc. SEE ALSO item number 1.111.</p>			
Event Triggers (Field 9) AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value CE – Calendar Year End FE – Fiscal Year End				Archival Codes (Field 10) A – Transfer to State/University Archivist R – Review by State/University Archivist US – Until Superseded PM – Permanent									

STATE OF TEXAS

Records Retention Schedule

1.108	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			FE		SEE: comment to item 1.107, SEE ALSO item number 1.110.		
1.110	1.1.010	Directives	Any document that officially initiates, rescinds, or amends general office procedures.	1			US				
1.111	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.	3			US		A		
1.113	1.1.013	Calendars, Appointment and Itinerary Records		1			CE		R	<p>CAUTION: A record of this type purchased with personal funds, but used by state official or employee to document his or her work activities may be a state record and subject to this retention period. SEE OAG Open Records Decision 635 issued in December 1995 by the Attorney General. ARCHIVES NOTE: Only the calendars, appointment and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the State Archives when these records have met thier retention periods.</p>	
1.114	1.1.014	Legal Opinions and Advice	From agency legal counsel or the Attorney General, including any requests eliciting the opinions.				AV		R	<p>CAUTION: Does not include legal opinions or advice rendered on a matter in litigation or with regard to pending litigation. SEE item number 1.148.</p>	
1.119	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		
1.120	1.1.020	Public Information Requests – Not Exempted	Includes all correspondence and documentation relating to requests for records that are furnished to the public under Public Information Act (Chapter 552, Government Code).	1			AC	AC=Date request fulfilled.			

Event Triggers (Field 9)	Archival Codes (Field 10)
AC – After Closed, Term Settled AV – Administrative Value	AJ – Transfer to State/University Archivist R/O – Review by State/University Archivist
CE – Calendar Year End FE – Fiscal Year End	
LA – Life of Asset PM – Permanent	
US – Until Superseded	

STATE OF TEXAS

Records Retention Schedule

1.121	1.1.021	Public Information Requests - Exempted	Includes all correspondence and documentation relating to requests for records that are exempt under the Public Information Act (Chapter 552, Government Code).	2			AC	AC = Date of notification that records are exempted.			
1.123	1.1.023	Organization Charts					US		A		
1.124	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 our directly related to other records series in this schedule.	3			AC	AC=Decision made to implement or not to implement result of planning process.	R	Archives Note: Data processing planning records are not archival.	
1.126	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.	1			AC	AC = Date of publication in the Texas Register.			
1.127	1.1.027	Proposed Legislation	Drafts of proposed legislation and related correspondence.				AV				
1.138	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 AIN 1.167 for summary reports compiled from customer surveys.	
1.140	1.1.040	Speeches, Papers and Presentations	Notes or text of speeches, papers, or reports delivered in conjunction with agency work.				AC	AC = End of term in office or termination of service in a state position.	R		
1.143	1.1.043	Training Materials	Instructional materials developed by an agency for training entities or individuals it regulates or serves.	1			US				
1.148	1.1.048	Litigation Files	Records created by or on behalf of an agency in anticipation of or in the adjudication of a lawsuit.	1			AC	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 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.	
1.153	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.			
1.155	1.1.055	Strategic Plans	Information resources and operational strategic plans prepared in accordance with Sections 2054.095 and 2056.002, Government Code.	6			AC	AC = September 1 of odd-numbered calendar years.	A	The archival requirement is met by sending required copies to the Texas State Publications Depository Program, TSLAC.	

Event Triggers (Field 9)

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

CE – Calendar Year End
FE – Fiscal Year End

LA – Life of Asset
PM – Permanent

US – Until Superseded

Archival Codes (Field 10)

AJ – Transfer to State/University Archivist
R/O – Review by State/University Archivist

STATE OF TEXAS

Records Retention Schedule

1.157	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 on-going records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; telephone message notifications; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.				AC	AC = Purpose of record has been fulfilled.	CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction authorizations (1.201) or in records disposition logs (1.210), but agencies should establish procedures governing disposal of these records as part of its records management plan (1.214).	
1.158	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 archival requirement will be met by sending a copy to the Archives and Information Services Division, Texas State Library and Archives Commission. CAUTION: This records series and item numbers 1.1.059, 1.1.060, 1.1.061, and 1.1.062 must be used for those state boards, committees, commissions, and councils, which by law or the biennial Appropriations Act, are administered by another state agency. These records and all others related to the functions of any of these dependent entities must be included in the records retention schedule of the administering agency.	
1.159	1.1.059	Certified Agendas or Tape Recordings of Closed Meetings	Certified agendas or tape recordings of closed meetings of state boards, committees, commissions, and councils.	2			AC	AC = The date of the meeting or completion of pending action involving the meeting, whichever is later.	Archival Codes (Field 10) A I – Transfer to State/University Archivist R, O – Review by State/University Archivist	Government Code, Section 551.104(a).

STATE OF TEXAS

Records Retention Schedule

1.160	1.1.060	Audio or Videotapes of Open Meetings	Audio or videotapes of open meetings of state boards, commissions, committees, and councils.	5			AC	AC = Official approval of written minutes of the meeting by the governing body of an agency	CAUTION: Minutes of state agencies are permanent records. Audio and videotapes are not permanent media. State agencies may not retain audio or videotapes of the meetings of governing bodies in lieu of written minutes. The proceedings of all meetings of state boards, committees, commissions, and councils must be reduced to writing. SEE caution comment at item number 1.1.058.			
1.161	1.1.061	Meeting – Notes	Notes taken during open meetings of state boards, commissions, committees, and councils from which written minutes are prepared.			90	AC	AC = Official approval of written minutes of the meeting by the governing body of an agency	SEE caution comment at item number 1.1.058.			
1.162	1.1.062	Meeting – Supporting Documentation	Documents submitted at meetings of state boards, commissions, committees, and councils including exhibit items, documentation for agenda items, etc. Includes documents sent in advance of meetings for briefing purposes, some of which may not be submitted at an actual meeting.	2					A	SEE caution comment at item number 1.1.058.		
1.163	1.1.063	Staff Meeting Minutes and Notes	Minutes or notes, and supporting documentation, taken at internal agency staff meetings.	1								
1.164	1.1.064	Agency Performance Measures Documentation	Any records of an agency needed for the documentation of output, outcome, efficiency, and explanatory measures in agency's appropriations request or strategic plan, and for performance measures used to manage the agency.	3			FE			CAUTION: The FE +3 retention period overrides any shorter retention period for a record series in this schedule if the record series is needed for documentation of agency performance measures.		
1.166	1.1.066	Reports - Biennial or Annual Agency	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.	6			AC	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.		
1.167	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.	3					R			
		Event Triggers (Field 9) AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value		Retention Periods (Field 10) CE – Calendar Year End FE – Fiscal Year End		Asset Types (Field 11) LA – Life of Asset PM – Permanent		Disposition Codes (Field 12) US – Until Superseded A – Transfer to State/University Archivist R – Review by State/University Archivist		Archival Codes (Field 10) A – Transfer to State/University Archivist R – Review by State/University Archivist		

STATE OF TEXAS

Records Retention Schedule

1.168	1.1.068	Reports on Performance Measures	Quarterly and annual reports on agency performance measures submitted to the executive and legislative offices.	6			AC	AC = September 1 of odd-numbered calendar years.			
1.169	1.1.069	Reports - Activity	Reports compiled by agency personnel on a daily or other periodic basis pertaining to workload monitoring, task completion times, number of public contacts, and similar activities	3			FE				CAUTION: The FE + 3 retention period overrides any shorter retention period for a records series in this schedule if the records series is needed for documentation of agency performance measures.
1.170	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.	3			AC	AC = Completion or termination of program, rules, policies, or procedures.	R		
1.171	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.	3			AC	AC = Completion or termination of program, rules, policies, or procedures.	R		
1.172	1.1.072	Public Information Reports	Reports made to the Office of the Attorney General on an agency's Public Information Act activities	2							
1.173	1.1.073	Administrative Hearings	Transcripts and final decisions of hearings conducted as part of the regulatory process, and hearings on proposed rules and changes. The records may be maintained with related information including meeting notices, proofs of publication, and meeting minutes.	3			AC	AC = Last action	R		
1.174	1.1.074	Sunset Review Report and Documentation		3			AC	AC = After the subsequent Sunset Review	R		
1.201	1.2.001	Destruction Authorizations	Agency level documents authorizing final disposition of records under a certified records retention schedule	3			FE				
1.203	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	1			AC	AC = Discontinuance of use of form			
1.204	1.2.004	Forms Inventory	Any periodic listing of all forms used internally or externally by an agency				US	US – Until Superseded			
				<small> Event Triggers (Field 9) AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value CE – Calendar Year End FE – Fiscal Year End </small>				<small> Archival Codes (Field 10) A/I – Transfer to State/University Archivist R/O – Review by State/University Archivist </small>			

STATE OF TEXAS Records Retention Schedule

1.205	1.2.005	Records Retention Schedule (SLR 105)	Agency copy. Formerly RMD 105. Includes documentation of certification and approval - forms SLR 105C (formerly RMD 105C), and/or other forms designated by the State Records Administrator.				US		Original is retained by the State and Local Records Management Division, TSLAC.
1.206	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	2			AC	AC = Date of authorization for destruction, permanent transfer from storage or transfer to the Archives and Information Services Division, Texas State Library and Archives Commission, by the agency records management officer.	Original is retained by the State and Local Records Management Division, TSLAC.
1.208	1.2.008	Request for Authority to Dispose of State Records (RMD 102).	Agency copy.	3			FE		Original is retained by the State and Local Records Management Division, TSLAC.
1.210	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, showing records series title, dates of records, and date destroyed or transferred.	10					
1.211	1.2.011	Record Center Storage Approval Forms (RMD 106)	Agency copy				US		
1.212	1.2.012	Records Inventory Worksheets					US		
1.214	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.	1			US		
1.301	1.3.001	State Publications	One copy of each state publication as defined on page xi of the introduction of this schedule, 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 meet the definition, are closely associated with the appropriations process and must be retained AC + 6.	2			AC	AC = Until superseded or obsolete	CAUTION: Many state publications must be submitted to the Texas State Publications Depository Program, Texas State Library and Archives Commission, by law (Government 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.
1.302	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

STATE OF TEXAS

Records Retention Schedule

2.207	2.1.007	Software Programs	Automated software applications and operating system files.				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
2.208	2.1.008	Hardware Documentation	Records documenting operational and maintenance requirements of computer hardware such as operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems				AC	AC = Until electronic records are transferred to and made usable in a new hardware environment or there are no electronic records being retained to meet an approved retention period that require the hardware to be retrieved and read.	CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.	13 TAC 6.94
2.209	2.1.009	Technical Documentation	Records adequate to specify all technical characteristics necessary for reading or processing of electronic records and their timely, authorized disposition including documentation describing how a system operates and necessary for using the system such as user guides, system or sub-system definitions, system specifications, input and output specifications, and system flow charts; program descriptions and documentation such as program flowcharts, program maintenance logs, change notices, and other records that document modifications to computer programs; and data documentation necessary to access, retrieve, manipulate and interpret data in an automated system such as a data element dictionary, file layout, code book or table, and other records that explain the meaning, purpose, structure, logical relationships, and origin of the data elements.				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
2.101	2.1.010	Audit Trail Records	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	AC = All audit requirements have been met.		
2.216	2.2.016	Software Registrations, Warranties, and License Agreements	<p>Event Triggers (Field 9)</p> <p>AC – After Closes, Terminated, Completed, Expired, Settled AV – Administrative Value</p> <p>3</p> <p>CE – Calendar Year End FE – Fiscal Year End</p> <p>LA – Life of Asset PM – Permanent</p> <p>US – Until Superseded</p> <p>Archival Codes (Field 10)</p> <p>A/I – Transfer to State/University Archivist R/O – Review by State/University Archivist</p>							

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3.101	3.1.001	Application 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			AC	AC = Date of position closing			29 CFR 1602.31
3.100	3.1	Employee Personnel Files	Includes applications for employment (RSIN 3.1.002), training and educational achievement records (RSIN 3.1.027) and employee recognition records (RSIN 3.1.037), etc.	5			AC	AC = Termination of employment.			
3.106	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	3			AC	AC=Termination of counseling.			
3.111	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.		
3.112	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
3.114	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 examination results, and all other records that document the selection process.	2			AC	AC = Date of position closing	CAUTION: Does not include criminal history checks. SEE item number 3.1.026.		29 CFR 1602.31
3.118	3.1.018	Grievance Records	Records relating to the review of employees grievances against personnel policies, working conditions, etc.	2			AC	AC = Final decision on the grievance.	CAUTION: Does not include formal complaints filed by an agency employee with the Equal Employment Office (EEO) of the U. S. Department of Labor. SEE item number 1.1.048.		
3.119	3.1.019	Performance Appraisals		2							29 CFR 1620.32 (c).

Event Triggers (Field 9)

AC – After Closed, Terminated, Completed, Expired, Settled
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Archival Codes (Field 10)

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3.120	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	5		AC	AC=Termination of corrective action.	CAUTION: If, during the retention period of this records series, any part of this series is used to document and support personnel disciplinary action under item number 3.1.021, all documentation from this series used to support disciplinary action must be retained for the minimum retention period described by item number 3.1.021.	
3.121	3.1.021	Personnel Disciplinary Action Documentation	Disciplinary actions are those actions which may affect pay, status or tenure. They are imposed to discipline an employee whose conduct is harmful to the best interests of the state, the agency or the employee work force; and for failure to improve performance or conduct following imposition of corrective action. May include cause for demotion, suspension, or dismissal, and the reasons for failure to give written notice of resignation. May also be use to document evidence of employee self-improvement efforts, as well as favorable and unfavorable communication.	7		AC	AC=Termination of employment.		
3.122	3.1.022	Personnel Information or Action Forms	Forms or similar records used to create or change information concerning the records of an employee including pay grade, position classification, employee number, evaluation date and termination of employee.	2					29 CFR 1602.31
3.123	3.1.023	Position/Job Description	Job descriptions, including all associated task or skill statements, for positions in an agency	4		AC	AC = Until superseded or job eliminated.		40 TAC 815.106(i)
3.126	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 criminal history 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	

Event Triggers (Field 9)

Additional Information (Field 10)

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AV – Administrative Value

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3.129	3.1.029	Employment Eligibility, Documentation or Verification of	Federal reporting form (INS I-9).	1		AC	AC = Termination of employment.	CAUTION: Federal regulation requires that INS I-9 forms be retained for 3 years from date of hire or 1 year after separation of the employee, whichever 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)
3.131	3.1.031	Employee Benefits - Other Than Insurance	Agency copies of information relating to the selection of available benefit options other than insurance	2		AC	AC = Until superseded or termination of employment.	CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item number 3.2.001.	
3.201	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.	4		AC	AC = After termination of employee or after amendment, expiration, or termination of authorization, whichever sooner.		
3.202	3.2.002	Employee Earnings Records/Payroll		8		FE		Agency policy to retain longer than TSLAC minimum.	40 TAC 815.106(i).
3.203	3.2.003	Federal Tax Records	Includes 1099, W-2, FICA, and other tax records.	4		AC	AC = Tax due date, date claim is filed, or date tax is paid whichever is later.		26 CFR 31.6001-1(e)(2)
3.205	3.2.005	W-4 Forms	Employer's copy of Employee's Withholding Exemption Certificate	4		AC	AC = Until superseded, obsolete, or upon separation of employee.		26 CFR 31.6001-1(e)(2)
3.207	3.2.007	Unemployment Compensation Records		5		AC	AC = termination of unemployment benefits.		
3.208	3.2.008	Direct Deposit Application/Authorization				US			
3.209	3.2.009	State Deferred Compensation Records		5		AC	AC = All accounts with a vendor or vendors for the individual participant have been closed.	For instructions regarding the retention period, see determination of the closures 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.	
3.210	3.2.010	Human Resources Information System (HRIS) Reports	Includes supporting documentation.	4		AC	AC = date of issuance of report		
3.301	3.3.001	Affirmative Action Plans	Affirmative action plans for both regular employees and apprenticeship programs	5					29 CFR 30.8(e)

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3.304	3.3.004	Benefit Plans	Employee benefit plans such as pension; life, health, and disability insurance; deferred compensation; etc., including amendments.	1			US			29 CFR 1627.3(b)(2)
3.311	3.3.011	Former Employee Verifications 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.	75			AC	AC = Termination of employment.	SEE item 3.1.038.	
3.322	3.3.022	Texas Workforce Commission (TWC) Reports	Reports to the agency from TWC or its predecessor pertaining to employees.	3						
3.323	3.3.023	Reimbursable Activities, Requests and Authorizations to Engage in	Requests for travel; participation in educational programs, workshops, or college classes or other work-related activities for which the expenses of the employee are defrayed or reimburse.	3			FE			
3.324	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.	3			US			
3.325	3.3.025	Job Procedure Records	Any documents detailing the procedural duties and responsibilities of agency positions on a position-by-position basis	3			US			
3.331	3.3.031	EEO Reports and Supporting Documentation	Includes documentation used to complete EEO reports.	3						29 CFR 1602.32, 1602.39, 1602.41, 1602.48, and 1602.50.
3.402	3.4.002	Leave Status Reports	Cumulative report is issued each pay cycle and provides employee leave status information for each position.	3			FE			
3.404	3.4.004	Overtime Authorizations		2			FE			
3.406	3.4.006	Time Cards and Time Sheets		6			FE		Agency policy to retain longer than TSLAC minimum.	40 TAC 815.106 (i).
3.407	3.4.007	Time Off and/or Sick Leave Requests		3			FE			
4.101	4.1.001	Accounts Payable Information		3			FE			
4.102	4.1.002	Billing Detail		3			FE		CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006 and 5.5.007.	
4.103	4.1.003	Cancelled Checks/ Stubs/Warrants/Drafts		3			FE			
4.104	4.1.004	Encumbrance Detail		3			FE			
4.105	4.1.005	Inventory and Other Cost Files	Production, job, labor, quotes, pricing, specifications, etc.	3			FE		Archival Codes (Field 10)	
4.107	4.1.007	Transfers or Budget Revisions		3			LA	LA - Life of Asset US - Until Superseded PM - Permanent	AP - Transfer to State/University Archivist R, O - Review by State/University Archivist	

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4.201	4.2.001	Cash Deposit Vouchers	Cash deposit slips.	6		FE		Agency policy to retain longer than TSLAC minimum.	
4.202	4.2.002	Cash Receipts	Includes receipts for fees (permits, licenses, renewals, etc.)	3		FE			
4.203	4.2.003	Daily Cash Receipts Logs		3		FE			
4.204	4.2.004	Encumbrance Vouchers	Orders, statements, change orders, etc	3		FE			
4.205	4.2.005	Purchase Vouchers	Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc.	6		FE		Agency policy to retain longer than TSLAC minimum.	
4.206	4.2.006	General Journal Vouchers		3		FE			
4.207	4.2.007	Expenditure Vouchers	Travel, payroll, etc.	3		FE			
4.302	4.3.002	Receipts Journals or Registers		3		FE			
4.303	4.3.003	Expenditures Journals or Registers		3		FE			
4.401	4.4.001	General and Subsidiary Ledgers		3		FE			
4.402	4.4.002	Accounts Receivable Ledgers		3		FE			
4.403	4.4.003	Accounts Payable Ledgers		3		FE			
4.501	4.5.001	Worksheets for Preparing Fiscal Reports		3		FE			
4.502	4.5.002	Internal Fiscal Management Reports	Includes agency monthly budget reports.	3		FE			
4.503	4.5.003	Annual Financial Reports	Required by the General Appropriations Act (100 day report).	6		AC	AC = September 1 of odd-numbered calendar years.	CAUTION: If an agency does not produce a biennial or annual report narrative report described in item number 1.1.066, then these annual financial reports must be marked with Archival Code A. The archival requirement, when a biennial or annual narrative report is not produced, is met by sending the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission.	
4.505	4.5.005	External Fiscal Reports - Special Purpose	i.e. federal financial reports, salary reports, etc. includes HUB reports.	3		FE			
4.506	4.5.006	Annual Operating Budgets	Required by the General Appropriations Act.	3		FE			
4.507	4.5.007	USAS Reports - Daily				AC	AC = Receipt and reconciliation of monthly report	Archival Codes (Field 10) A/I - Transfer to State/University Archivist R/O - Review by State/University Archivist	

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4.508	4.5.008	USAS Reports - Monthly				AC	AC = Receipt and reconciliation of annual report			
4.509	4.5.009	USAS Reports - Annual		3		FE				
4.601	4.6.001	Balancing Records		3		FE				
4.602	4.6.002	Reconciliations		3		FE				
4.701	4.7.001	Accounting Policies and Procedures Manual		3		US				
4.703	4.7.003	Returned Checks/Warrants/Drafts (Uncollectable)		3		AC	AC = After deemed uncollectable.			
4.704	4.7.004	Capital Asset Records		3		LA				
4.706	4.7.006	Comptroller Statements		3		FE				
4.707	4.7.007	Detail Chart of Accounts	One for all accounts in use for a fiscal year.	3		FE				
4.711	4.7.011	Texas Facilities Commission Statements (TFC)	Charge or bill statements received by the agency from TFC (previously TBPC) for services provided.	3		FE				
5.101	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.	7		AC	AC = Expiration or termination of the instrument according to its terms	SEE related item number 5.3.007 Bid Documentation. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs.	Government Code, 441.1855	
5.105	5.1.005	Postage Reports	Records and reports of postage expenses, including postal meter usage.	3		FE				
5.113	5.1.013	Insurance Policies		7		AC	AC = Expiration or termination of the policy according to its terms		Government Code, 441.1855	
5.114	5.1.014	Office Procedures	Any internally distributed manual, guidelines, or similar records that establish standard office procedures for an agency.	1		US				
5.117	5.1.017	Contract Log	List of agency contracts, leases, and agreements including general obligation, land lease, utilities, and construction contracts	3		FE				
5.207	5.2.007	Damage Reports	Reports of damage to state property	3		FE				
5.208	5.2.008	Equipment History File	Includes requests for installation, moves, service, etc.; and service/repair logbooks, etc.	3		LA	For service agreements or contracts related to equipment repairs or service, retain in accordance with item number 5.1.001.			
5.209	5.2.009	Equipment Inventory Detail Report Forms	Updates agency portion of the inventory listing and adds, changes, transfers, or deletes items from inventory.	3		FE				
<div style="display: flex; justify-content: space-between; font-size: small;"> <div> <p>Event Triggers (Field 9)</p> <p>AC – After Closed, Terminated, Completed, Expired, Settled</p> <p>AV – Administrative Value</p> </div> <div> <p>CE – Calendar Year End</p> <p>FE – Fiscal Year End</p> </div> <div> <p>LA – Life of Asset</p> <p>LA – Permanent</p> </div> <div> <p>US – Until Superseded</p> </div> <div> <p>Archival Codes (Field 10)</p> <p>AJ – Transfer to State/University Archivist</p> <p>RO – Review by State/University Archivist</p> </div> </div>										
5.210	5.2.010	Equipment Manuals				LA				
5.211	5.2.011	Equipment Warranties		1		AC	AC=Expiration of warranty			

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5.214	5.2.014	Inventory – Annual Physical	Property, equipment, supplies verification.	3			FE				
5.215	5.2.015	Inventory, Notices of Equipment Removed from		3			FE				
5.217	5.2.017	Lost and Stolen Property Reports		3			FE				
5.219	5.2.019	Service Orders	Agency copy of forms completed by mechanical service personnel for installation or repair. Includes billing code, service, labor, parts, and remarks	1							
5.307	5.3.007	Bid Documentation	Includes bid requisitions/authorizations, invitations to bid or propose, bid specifications, accepted and rejected bids and bid tabulation/evaluations.	7			AC	AC=Expiration or termination of the instruments according to its terms or decision not to proceed with the bid.	CAUTION: If a formal written contract is the result of a successful bid or request for proposal, the successful bid or request for proposal and is supporting documentation must be retained for the same period as the contract. SEE item 5.1.001 and 5.2.028.		
5.308	5.3.008	Purchasing Logs	Record of purchase orders issued, orders received, and similar data on procurement status.	3			FE				
5.402	5.4.002	Evacuation Plans	Plans for evacuation of agency facilities in cases of emergency				US				
5.411	5.4.011	Visitor Control Registers	Logs, registers, or similar records documenting visitors to limited access or restricted areas of agency facilities.	3			FE				
5.412	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 facilities, equipment or automated systems.	2			AC	AC = Until superseded, date of expiration, or date of termination, which ever sooner.			
5.413	5.4.013	Disaster Preparedness and Recovery Plans					US				
5.501	5.5.001	Billing Detail – Telecommunications (Other Than TEX-AN)	In addition to summary detail, includes any accompanying detailed listing of long distance calls.	3			FE		SEE item number 5.5.006 for TEX-AN billing detail.		
5.506	5.5.006	Billing Detail - Telecommunications (TEX-AN)	In addition to summary detail, includes any accompanying detailed listing of long distance calls.	3			FE		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. For these bill summaries, SEE item number 4.7.011. SEE item number 5.5.001 for billing detail from carriers other than TEX-AN.		
				Event Triggers (Field 9)						Archival Codes (Field 10)	
				AC – After Closed, Terminated, Completed, Expired, Settled		CE – Calendar Year End		LA – Life of Asset		US – Until Superseded	
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6.101		Licensee Files	Files of licensees, including application and supporting documentation	50			AC	AC = Cancellation, retirement, non-renewal, death.			
6.102		Applications for Licensure and Required Documentation	Applications for Doctor of Chiropractic licensure and all required documentation, including transcripts	2			AC	AC = Date application received	CAUTION: Applications and supporting documentation for subsequently licensed individuals must be maintained for the retention period prescribed in item number 6.101.		
6.103		Completed Jurisprudence Exam Scoring Information	Jurisprudence examination scoring results	2			AC	AC = Date application received	CAUTION: Scoring information for subsequently licensed individuals must be maintained for the retention period prescribed in item number 6.101.		
6.104		Jurisprudence Exams – Historical					PM				
6.105		Files for Denied Requests to Sit for Jurisprudence Exam	Applications and required documentation for individuals who are denied their request to sit for the jurisprudence exam	2			AC	AC = Date application received			
6.106		Letters of Good Standing		1			FE				
6.107		Temporary Licenses	Temporary DC license files	1			FE				
6.108		Facility Registration Files	Registration files for facilities, including applications, renewals, and other information	50			AC	AC = Date active status ends			
6.109		Rad-Tech Registration Files	Registration files for rad-techs including applications, renewals, and other information	75			AC	AC = Date active status ends			
6.110		Active/Inactive License Renewal Forms	Paper DC license renewal forms for active and inactive status	3			FE				
6.111		Texas Online Printouts	Printouts generated by Texas Online reports for renewals of chiropractic licenses and facility registrations	3			FE				
6.112		Prorated Forms – Initial DC License	Prorated forms submitted to applicants to obtain initial DC license	3			FE				
6.113		Continuing Education Applications		1			FE				
7.001		Investigation Case Files – Complaints (Non-Jurisdictional)		3			AC	AC = Date the complaint is closed.			
7.002		Investigation Cases Files – Complaints Withdrawn		3			AC	AC = Date the complaint is closed.			
7.003		Investigative Case Files – No Disciplinary Action		3			AC	AC = Date the complaint is closed.			
7.004		Investigative Case Files – Discipline Imposed		10			AC	AC = Date the complaint is closed.			
7.005		Contested Case Administrative Records	Case Closed, Terminated, Completed, Expired, Settled AV – Administrative Value	1			AC PM	AC = All appeals exhausted PM – Permanent			Archival Codes (Field 10) A/I – Transfer to State/University Archivist R/O – Review by State/University Archivist

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7.006		Final Orders, PFDs and Agreed Orders – Category I Violations						PM		Unless expunged per Board Rule 78.11.		
7.007		Final Orders, Proposal for Decisions and Agreed Orders – Category II-V Violations						PM		Unless expunged per Board Rule 78.11.		
7.008		Electronic Data Bank (Enforcement Tracking)						PM		Unless expunged per Rule Board 78.11.		

Event Triggers (Field 9)				Archival Codes (Field 10)			
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