

January 18, 2023



Jennifer Hertsenberg  
Operations Manager  
Texas Board of Chiropractic Examiners-508  
Hobby Bldg, 333 Guadalupe, Ste 3-825  
Austin Tx, 78701

Dear Jennifer Hertsenberg,

The 8th recertification of your agency's records retention schedule is approved for use as of **1/12/2023**, and it may be accessed on our website at <https://www.tsl.texas.gov/slrn/state/schedules>. Please ensure that all old copies of the schedule are superseded with this certified copy.

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

Each agency schedule must be reviewed, updated, and submitted for recertification according to a timeline established by the Texas State Library and Archives Commission. Your next recertification is scheduled for **01/2028**.

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

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

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

Sincerely,

A handwritten signature in blue ink, appearing to read "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)

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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

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

Jennifer Hertzsenberg

Name (Print or type)

Jennifer Hertzsenberg

Date

October 21, 2022

## 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

Not Required at This Time

Name (Print or type)

Date

Texas State Library and Archives Commission

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

Signature

Gloria Meraz

Name (Print or type)

Gloria Meraz

Date

1/12/2023

Cert/Recert No.

8

Amendment No.

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# 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).





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**Records Retention Schedule**

SLR 105  
 Rev. 2021-07

**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)**

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 R/O – Review by State/University Archivist  
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3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
1.102	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.	AC	7			AC = Publication or release of final audit findings.		The State Auditor's Office retains any copies of its audits performed on Texas state agencies. See RSIN 5.4.018 and 5.4.019 for Audit Plan records.	
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.	AC	6			AC = September 1 of odd-numbered calendar years.		<b>ARCHIVES NOTE:</b> The final version of Legislative Appropriation Requests must be submitted to the Texas State Publications Depository Program per 13 TAC 3.3(a)(3)(A). Working files and related documentation used in creating the final plan are not subject to archival review and may be disposed of at the expiration of the retention period.	
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	AC	2			AC = Final disposition of the complaint.		<b>CAUTION:</b> 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.	



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					Years	Months	Days				
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.	FE	4				R	<p><b>ARCHIVES NOTE:</b> 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><b>CAUTION:</b> 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>	



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					Years	Months	Days				
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.	FE	2					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.	US	1						
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.	US	3				A		



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1.113	1.1.013	Calendars, Appointment and Itinerary Records	Calendars, appointment books or programs and scheduling, or itinerary records maintained by staff during business hours that document appointments, itineraries, and other activities of agency officials or employees.	CE	1				R	<p><b>ARCHIVES NOTE:</b> Only the calendars, appointment and itinerary records of elected officials, agency heads and board or commission members require archival review. Contact the State Archives when these records have met their retention periods.</p> <p><b>CAUTION:</b> A record of this type purchased with personal funds but used by a state official or employee to document his or her work activities may be a state record and subject to this retention period. See Open Records Decision 635 issued in December 1995 by the Attorney General.</p>	



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					Years	Months	Days				
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	<b>CAUTION:</b> Does not include legal opinions or advice rendered on a matter in litigation or with regard to pending litigation, or opinions rendered for Public Information Act Requests. See RSIN 1.1.048, 1.1.020, and 1.1.021. <b>ARCHIVES NOTE:</b> Opinions and advice 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. See page ix for additional guidelines.	
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).	AC	1			AC=Date request fulfilled.			





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					Years	Months	Days				
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).	AC	2			AC = Date of notification that records are exempted.			
1.123	1.1.023	Organization Charts	Charts or diagrams that show the structure of an agency and the relationships and relative ranks of its departments and job positions.	US					A	<b>ARCHIVES NOTES:</b> Only charts showing the overall arrangement and administrative structure of the state agency need to be transferred to the Archives and Information Systems Division, Texas State Library and Archives Commission. Organizational charts showing division/department level detail are not considered archival.	
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.	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.	
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.	AC	1			AC = Date of publication in the Texas Register.			
1.127	1.1.027	Proposed Legislation	Drafts of proposed legislation and related correspondence.	AV							



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					Years	Months	Days				
1.138	1.1.038	Surveys and Questionnaires	Surveys soliciting feedback from customers, clients, or stakeholders of an agency, and the statistical data maintained rating an agency's performance.	AC				AC = Final disposition of summary report, or date of decision not to produce a report, as applicable.		See RSIN 1.1.067 for summary reports compiled from customer surveys.	
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	<b>ARCHIVES NOTE:</b> 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.	
1.143	1.1.043	Training Materials	Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US	1						
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.	AC	1			AC = As applicable, decision of an agency not to file a lawsuit or decision that a lawsuit will not be filed against it on a matter; dismissal of a lawsuit for want of prosecution or on motion of the plaintiff; or final decision of a court (or of a court on appeal, if applicable) in a lawsuit.	R	<b>ARCHIVES NOTE:</b> 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.	



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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, or date quarterly report would have been filed when the agency has no information to report.			
1.155	1.1.055	Strategic Plans	Operational strategic plans, which include descriptions of information resource programs, prepared in accordance with Government Code, 2054.095 and 2056.002. Includes working files and related documentation used in creating the final plan.	AC	6			AC = September 1 of odd-numbered calendar years.		<b>ARCHIVES NOTE:</b> The final version of Strategic Plans must be submitted to the Texas State Publications Depository Program per 13 TAC 3.3(a)(2)( C). Working files and related documentation used in creating the final plan are not subject to archival review and may be disposed of at the expiration of the retention period.	



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					Years	Months	Days				
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.		<b>CAUTION:</b> 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).	



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					Years	Months	Days				
1.158	1.1.058	Meetings, Agendas and Minutes of Open	Official agenda and minutes of state boards, committees, commissions, and councils that conduct open meetings as required by Government Code, Chapter 551.	PM					A	<b>ARCHIVES NOTE:</b> 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. <b>CAUTION:</b> 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	Meetings, Agendas and Minutes or Audiovisual Recordings of Closed	Certified agendas or tape recordings of closed meetings of state boards, commissions, committees, and councils.	AC	2			AC = The date of the meeting or completion of pending action involving the meeting, whichever is later.			Government Code, Section 551.104(a).



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1.160	1.1.060	Audio or Videotapes of Open Meetings	Audio or videotapes of open meetings of state boards, commissions, committees, and councils.	AC	5			AC = Official approval of written minutes of the meeting by the governing body of an agency		<b>CAUTION:</b> 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.	AC			90	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	Meetings – Supporting Documentation	Documents submitted at meetings of state boards, commissions, committees, and councils including exhibit items, documentation for agenda items, etc. Includes documents sent in advance of meetings for briefing purposes, some of which may not be submitted at an actual meeting.		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						



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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.	FE	3					See RSIN 1.1.068 for reports on agency performance measures. <b>CAUTION:</b> 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 (Narrative)	Biennial narrative reports to the governor and legislature as required by an agency's enabling statutes, including annual narrative reports if they are required by statute. Includes working files and related documentation used in creating final report.	AC	6			AC = September 1 of odd-numbered calendar years.		<b>ARCHIVES NOTE:</b> The final version of these agency reports must be submitted to the Texas State Publications Depository Program per 13 TAC 3.3. The requirement is met by sending the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission. Working files and related documentation used in creating the final report may be disposed of at the expiration of the retention period.	



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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. Includes reports distributed either internally or to other entities.		3				R	<b>ARCHIVES NOTE:</b> Reports are archival when they deal with significant aspects of the agency's programs. For agencies that have had an archival appraisal, separate this records series by each type of archival coding, A, R, or E. See page ix for more information.	
1.168	1.1.068	Reports - Reports on Performance Measures	Quarterly and annual reports on agency performance measures submitted to the executive and legislative offices.	AC	6			AC = September 1 of odd-numbered calendar years.		See RSIN 1.1.064 for documentation used to produce reports on agency performance measures.	
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	FE	3					<b>CAUTION:</b> 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.	





# STATE OF TEXAS Records Retention Schedule

SLR 105  
Rev. 2021-07

### 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  
E – Exempt from archival review and transfer

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					Years	Months	Days				
1.170	1.1.070	Agency Rules, Policies, and Procedures	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. Includes working files and related documentation used in creating rules, policies and procedures.	AC 3				AC = Until superseded, or termination of program, rules, policies, or procedures, whichever applicable.	R	<b>ARCHIVES NOTE:</b> Working files and related documentation used in creating the final rules, policies and procedures, are not subject to archival requirement and may be disposed of at the expiration of the retention period.	
1.172	1.1.072	Public Information Reports	Reports made to the Office of the Attorney General (OAG) on an agency's Public Information Act activities, per Government Code, 552.010.		2						



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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.	AC 3				AC = Last action	R	<b>ARCHIVES NOTE:</b> Only records that lead to substantial or statutory changes to the operations of the agency and its policies and procedures should be retained for archival review. Contact the State Archives when these records have met their retention periods. <b>CAUTION:</b> These records may be maintained with related information, including meeting notices, proofs of publication, and meeting minutes, and require a longer retention period.	
1.174	1.1.074	Sunset Review Report and Documentation	Sunset Review Report, agency self-study, and other correspondence and supporting documentation related to the Sunset review process for state agencies.	AC 3				AC = After the subsequent Sunset Review	R	<b>ARCHIVES NOTE:</b> Related documentation includes the agency self-evaluation report, agency response to the commission's draft report, and documentation of the agency's implementation of the commission's final recommendations.	
1.201	1.2.001	Destruction Authorizations	Agency level documents authorizing final disposition of records under a certified records retention schedule	FE 3						<b>CAUTION:</b> If destruction authorizations are maintained as part of RSIN 1.2.010 (Records Disposition Logs), then longer retention period applies.	



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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.			
1.205	1.2.005	Records Retention Schedule (SLR 105)	A records retention schedule (i.e. form SLR 105) that identifies the records that are created and maintained by an agency, provides the minimum timeframes the records must be retained, and includes instructions for their disposition. This series may include working files and documentation of certification and approval by the Texas State Library and Archives Commission.	US						Original is retained for 50 years by the State and Local Records Management Division, Texas State Library and Archives Commission.	
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	AC	2			AC = Date of authorization for destruction, permanent transfer from storage or transfer to the Archives and Information Services Division, Texas State Library and Archives Commission, by the agency records management officer.		Original is retained by the State and Local Records Management Division, TSLAC.	



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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					<b>CAUTION:</b> Disposition can mean destroyed or transferred.	
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.	US	1						



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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.	AC	2			AC = Until superseded or obsolete		<p><b>CAUTION:</b> Many state publications must be submitted to the Texas State Publications Depository Program, Texas State Library and Archives Commission, by law (Government Code, 441.103-441.105). 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.</p> <p>For additional information and requirements concerning state publications made available to the public through the internet, consult the administrative rules of the Texas State Publications Depository Program of the Texas State Library and Archives Commission (13 TAC §§3.1-3.8).</p>	



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1.302	1.3.002	Publication Development Files	Physical and digital development and design files used to create State Publications, including but not limited to background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV					R	See RSIN 1.3.001 for final State Publications created from development files. <b>ARCHIVES NOTE:</b> Successive and substantive drafts of major publications may be archival. Major is defined by both the publication's authorship and its impact on Texas and Texans. Original artwork, including photo prints and negatives that have significant value as evidence of agency programs as well as the potential for re-use, may be archival.	
2.201	2.1.002	Master Files	Relatively long-lived computer files containing organized and consistent sets of complete and accurate electronic records and associated processing files. Examples include, but are not limited to, data tables of relational databases used by applications or computer programs.	AC				AC=Until electronic records are transferred to and made usable in a new system or environment, or there are no electronic records being retained to meet an approved retention period established in this schedule that require the use of the system.		<b>CAUTION:</b> Records management officers must be certain before assigning the retention period of AC to agency master files and application data that the files do not fall under records series listed elsewhere.	



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2.207	2.1.007	Computer 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		<b>CAUTION:</b> 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	Computer Hardware Documentation	Records documenting operational and maintenance requirements of computer hardware such as operating manuals, hardware/operating system requirements, hardware configurations, equipment control systems and associated processing files.	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.		<b>CAUTION:</b> Hardware 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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2.209	2.1.009	Hardware and Software Technical Documentation	Records adequate to specify all technical characteristics necessary for reading or processing electronic records; to document modifications to computer programs; to access, retrieve, manipulate, and interpret data in an automated system; and allow for their timely, authorized disposition. Records include but are not limited to: user guides, system or sub-system definitions, system specifications, input and output specifications, system flow charts, program flow charts, program maintenance logs, change notices, data element dictionaries, file layouts, code books or tables, 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.		<b>CAUTION:</b> Hardware and 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.			





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2.216	2.2.016	Software Registrations, Warranties, and License Agreement	Records documenting the registration and licensing of a software application to activate the software for legal use by the end users of a state agency, along with warranties providing that the software will perform in accordance with functional specifications.	LA	3						
3.101	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.	AC	2			AC = Date of the making of the record or the personnel action involved, whichever occurs later.		<b>CAUTION:</b> Does not include ADA Accommodation Requests. See RSIN 3.1.042.	29 CFR 1602.31
3.102	3.1.002	Applications 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.			
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.	AC	5			AC = Termination of employment.			



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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	AC	3			AC=Termination of counseling.			
3.111	3.1.011	Employee Benefits	Agency copies of information relating to the selection by employees of life, health, vision, dental, disability, and other types of insurance or benefits offered by the State of Texas to its employees.	AC				AC = Until superseded or termination of employment.		<b>CAUTION:</b> Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for RSIN 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 examinations; and all other records that document the selection process, except for those noted in Remarks.	AC	2			AC = Date of the making of the record or the personnel action involved, whichever occurs later.		<b>CAUTION:</b> Does not include criminal history checks; see RSIN 3.1.026. Does not include drug screening test results; see RSIN 3.1.404a/b/c. Does not include pre-employment skill tests; see RSIN 3.3.027 and 3.3.028. Does not include pre-employment polygraph examinations; see RSIN 3.1.043.	29 CFR 1602.31 29 CFR 1602.49(a)



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3.118	3.1.018	Grievance Records	Records relating to the review of employees grievances against personnel policies, working conditions, etc.	AC	2			AC = Final decision on the grievance.		<b>CAUTION:</b> 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	Job evaluations, performance appraisals, or other similar documents used to evaluate the performance of an employee.		2						29 CFR 1620.32 ( c ).
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	AC	5			AC=Termination of corrective action.		<b>CAUTION:</b> 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.	



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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.	AC	7			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 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)



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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.		<b>CAUTION:</b> 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 information.	
3.127	3.1.027	Training and Educational Achievement Records	Certificates of completion, certifications, licenses, transcripts, test scores or similar records documenting the training, testing certification, licensing, or continuing education achievements of an employee.	AC	5			AC=Termination of employment.			
3.129	3.1.029	Employment Eligibility Documentation	Federal reporting form (INS I-9).	AC	1			AC = Termination of employment.		<b>CAUTION:</b> 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)



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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.	AC	4			AC = After termination of employee or after amendment, expiration, or termination of authorization, whichever sooner.			
3.202	3.2.002	Employee Earnings Records	Payroll records and registers documenting employee earnings, wages, and pay. This may include but is not limited to payroll input records, summary statements, payroll vouchers, payroll detail sheets, and payroll history.	FE	4					Agency policy to retain longer than TSLAC minimum.	40 TAC 815.106(i).
3.203	3.2.003	Federal Tax Records (FICA Records)	Includes 1099, W-2, FICA, and other tax records.	AC	4			AC = Tax due date, date claim is filed, or date tax is paid whichever is later.			26 CFR 31.6001-1(e)(2)
3.205	3.2.005	W-4 Forms	Employer's copy of Employee's Withholding Exemption Certificate	AC	4			AC = Until superseded, obsolete, or upon separation of employee.			26 CFR 31.6001-1(e)(2)
3.207	3.2.007	Unemployment Compensation Records	Records and documentation relating to unemployment compensation claims, including reimbursement of funds disbursed by Texas Workforce Commission (TWC).	AC	5			AC = Resolution of the claim.			
3.208	3.2.008	Direct Deposit Application/Authorization	Forms used to deposit employee's earnings into a specified personal account.	US							
3.209	3.2.009	State Deferred Compensation Records	Records documenting the amount of pension or deferred compensation earned by individual employees.	AC	5			AC = All accounts with a vendor or vendors for the individual participant have been closed.			



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3.301a	3.3.001a	Affirmative Action Plans - Employees	Affirmative action plans for regular employees and apprenticeship programs.	AC	5			AC = Date of the making of the record or the personnel action involved, whichever occurs later.			29 CFR 30.12(d).
3.304	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)
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.	AC	75			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.	FE	3						
3.324	3.3.024	Personnel Policies and Procedures	Any internally distributed manuals, guidelines, or similar records that define agency wide policies and procedures concerning the personnel of an agency.	US	3						



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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	US	3						
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.	FE	3						
3.404	3.4.004	Overtime Authorizations	Records created to schedule time worked by employees outside of or in addition to their regular working hours, including approval authorizations.		2						
3.406	3.4.006	Time and Attendance Records	Records documenting individual employee's hours worked, including work schedules and documentation evidencing adherence to our deviation from normal hours for those employees working on fixed schedules.		4						40 TAC 815.106 (i).
3.407	3.4.007	Time Off &/or Sick Leave Requests	Requests and authorizations for vacation, compensatory, sick, Family and Medical Leave Act (FMLA), sick pool leave, and other types of authorized leave, and supporting documentation.	FE	3						Government Code, Section 661.152(d); 29 CFR 825.500(b).





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4.101	4.1.001	Accounts Payable Information	Claims; invoices; statements; copies of checks and purchase orders; expenditure authorizations; ledgers; encumbrance, purchase, general journal, expenditure, and special vouchers; and similar records that serve to document disbursements, including those documenting claims for and reimbursement to employees for travel and other expenses.	FE	3						
4.109	4.1.009	Accounts Receivable Information	Bill copies or stubs, statements, billing registers, account cards, deposit warrants, cash receipts, credit card receipts, receipts books, cash transfers, daily cash reports, reconciliations, general journal vouchers, special vouchers, and similar records that serve to document money owed to or received by a state agency and its collection or receipt.	FE	3						
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.	



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4.503	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.		<p><b>ARCHIVES NOTE:</b> The final version of Annual Financial Reports must be submitted to the Texas State Publications Depository Program per 13 TAC 3.3(a)(2)(a). Working files and related documentation used in creating the final plan are not subject to archival review and may be disposed of at the expiration of the retention period.</p> <p><b>CAUTION:</b> If an agency does not produce a biennial or annual narrative report as described in RSIN 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.</p>	
4.507	4.5.007	USAS Reports - Daily	Periodic reports compiled from information entered into the Uniform Statewide Accounting System (USAS).	AC				AC = Receipt and reconciliation of monthly report			



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4.509	4.5.009	USAS Reports - Annual	Yearly report compiled from information entered into the Uniform Statewide Accounting System (USAS).	FE	3						
4.701	4.7.001	Accounting Policies and Procedures Manual	Records documenting the internal and external procedural requirements with respect to the accounting department of a state agency.	US	3						
4.703	4.7.003	Returned Checks/Warrants/Drafts (Uncollectable)	Records of accounts deemed uncollectible, including write-off authorizations and returned checks, warrants, and drafts.	AC	3			AC = After deemed uncollectable.			
4.704	4.7.004	Capital Asset Records	Documentation relating to the capital and fixed assets of a state agency, including equipment or property history cards containing data on initial cost, depreciation schedules or summaries used for capital outlay budgeting, and property sale, auction, or disposal records of agency owned equipment and property.	LA	3						
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.			
4.901	4.9.001	Annual Operating Budgets	Required by the General Appropriations Act.	FE	3						



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					Years	Months	Days				
5.101a	5.1.001a	Contract Administration Files - 9/1/2015 and After	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, performance bonds, contracts, purchase orders, inspection reports, and correspondence. May also include other applicable documentation in the master contract file per Texas Comptroller of Public Accounts Contract Management Guide. Executed, renewed or amended on or after September 1, 2015.	AC	7			AC = Expiration or termination of the instrument according to its terms.		See related RSIN 5.3.007a/b/c for bid documentation. See RSIN 5.2.028 for building construction contracts. See RSIN 5.1.017 for contract logs.	Government Code, 441.1855.



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					Years	Months	Days				
5.101b	5.1.001b	Contract Administration Files - 8/31/2015 and Prior	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, performance bonds, contracts, purchase orders, inspection reports, and correspondence. May also include other applicable documentation in the master contract file per Texas Comptroller of Public Accounts Contract Management Guide. Executed, renewed or amended on or before August 31, 2015	AC	4			AC = Expiration or termination of the instrument according to its terms.		See related RSIN 5.3.007a/b/c for bid documentation. See RSIN 5.2.028 for building construction contracts. See RSIN 5.1.017 for contract logs. <b>NOTE:</b> Refer to SB20 (84th Leg.) for retention period context.	Government Code, 441.1855.
5.105	5.1.005	Postage Reports	Records and reports of postage expenses, including postal meter usage.	FE	3						
5.113a	5.1.013a	Insurance Policies - 9/1/2015 and After	Liability, theft, fire, health, life, automobile, and other policies for government property and personnel including supporting documentation relevant to the implementation, modification, renewal, or replacement of policies. Executed, renewed or amended on or after September 1, 2015	AC	7			AC = Expiration or termination of the policy according to its terms.			Government Code, 441.1855.



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5.113b	5.1.013b	Insurance Policies - 8/31/2015 and Prior	Liability, theft, fire, health, life, automobile, and other policies for government property and personnel including supporting documentation relevant to the implementation, modification, renewal, or replacement of policies. Executed, renewed or amended on or before August 31, 2015	AC	4			AC = Expiration or termination of the policy according to its terms.		<b>NOTE:</b> Refer to SB20 (84th Leg.) for retention period context.	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.	US	1						
5.117	5.1.017	Contract Log	List of agency contracts, leases, and agreements including general obligation, land lease, utilities, and construction contracts	FE	3						
5.206	5.2.006	Inventory and Property Control Records	Records documenting the inventorying, maintenance, usage, checkout, and disposal of supplies, equipment, and property of a state agency. Includes lost, stolen, and damage reports.	FE	3					See RSIN 5.2.008 for the maintenance logs of individual pieces of equipment.	
5.208	5.2.008	Equipment History/Service Agreements	Includes requests for installation, moves, service, etc.; and service/repair logbooks, etc.	LA	3			For service agreements or contracts related to equipment repairs or service, retain in accordance with item number 5.1.001.			
5.210	5.2.010	Equipment Manuals		LA							
5.211	5.2.011	Equipment Warranties		AC	1			AC=Expiration of warranty			



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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						
5.307a	5.3.007a	Bid Documentation - 9/1/2015 and After	Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, awarded and unawarded bids and bid tabulation/evaluations. Associated with a contract executed, renewed or amended on or after September 1, 2015.	AC	7			AC=Expiration or termination of the instruments according to its terms or decision not to proceed with the bid.			Government Code, 441.1855.
5.307b	5.3.007b	Bid Documentation - 8/31/2015 and Prior	Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, awarded and unawarded bids and bid tabulation/evaluations. Associated with a contract executed, renewed or amended on or before August 31, 2015.	FE	3					<b>NOTE:</b> Refer to SB20 (84th Leg.) for retention period context.	Government Code, 441.1855.
5.308	5.3.008	Purchasing Logs	Record of purchase orders issued, orders received, and similar data on procurement status.	FE	3						
5.402	5.4.002	Evacuation Plans	Plans for evacuation of agency facilities in cases of emergency	US							



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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						
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.	AC	2			AC = Until superseded, date of expiration, or date of termination, which ever sooner.			
5.413	5.4.013	Continuity of Operations Plan (COOP)	Plans developed (per Texas Labor Code, 412.054) to mitigate the damage of potential events that could endanger an agency's ability to function. Includes disaster preparedness, response, and recovery plans.	US						See RSIN 5.4.017 for records related to responding or recovering from an emergency.	
5.417	5.4.017	Emergency Response and Recovery Records	This series documents the events and damages to institutional property due to storms, riots, fires, droughts, floods, and other events affecting citizens and facilities within the jurisdiction of the institution. This series may include but is not limited to: diaries; logs; reports; photographs; notes which indicated or document what happened, when, and where; and related documentation and correspondence.		3				R	See RSIN 5.4.013 for Continuity of Operations Plan (COOP). <b>CAUTION:</b> If grant monies are received to assist with the response or recovery, the retention requirements for this series may vary depending on the specific funding agency.	





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5.502	5.5.002	Telephone Activity Records	Telephone logs created for internal documentation purposes; station activity reports of internal listings of incoming/outgoing telephone activity to individual telephone stations; operator call transfers; summary detail reports; and system activity reports of internal listings of all incoming/outgoing agency telephone activity.	AV						See RSIN 4.1.001 for telephone bills.	
6.101		Licensee Files	Files of licensees, including application and supporting documentation	AC	50			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	AC	2			AC = Date application received		<b>CAUTION:</b> 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	AC	2			AC = Date application received		<b>CAUTION:</b> 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							



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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	AC	2			AC = Date application received			
6.106		Letters of Good Standing		FE	1						
6.107		Temporary Licenses	Temporary DC license files	FE	1						
6.108		Facility Registration Files	Registration files for facilities, including applications, renewals, and other information	AC	50			AC = Date active status ends			
6.109		Rad-Tech Registration Files	Registration files for rad-techs including applications, renewals, and other information	AC	75			AC = Date active status ends			
6.110		Active/Inactive License Renewal Forms	Paper DC license renewal forms for active and inactive status	FE	3						
6.111		Texas Online Printouts	Printouts generated by Texas Online reports for renewals of chiropractic licenses and facility registrations	FE	3						
6.112		Prorated Forms – Initial DC License	Prorated forms submitted to applicants to obtain initial DC license	FE	3						
6.113		Continuing Education Applications	Required documentation including the application form, application fee, course advertisement, hour by hour syllabus and resume for each speaker submitted by an approved sponsor, a CCE accredited Chiropractic College or a state/national Chiropractic Association.	FE	1						



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7.001		Investigation Case Files – Complaints (Non-Jurisdictional)	Complaints received which after preliminary investigation are determined to be outside of the agency's responsibility.	AC	3			AC = Date the complaint is closed.			
7.002		Investigation Cases Files – Complaints Withdrawn	Complaints received in which the complainant (individual making the complaint) withdraws the initial complaint.	AC	3			AC = Date the complaint is closed.			
7.003		Investigative Case Files – No Disciplinary Action	Complaints received which after investigation are determined to be in the favor of the respondent (individual who the complaint is against) and no disciplinary action is imposed.	AC	3			AC = Date the complaint is closed.			
7.004		Investigative Case Files – Discipline Imposed	Complaints received which after investigation are determined to be in the favor of the complainant (individual making the complaint) in which disciplinary action is imposed on the respondent (individual who the complaint is against).	AC	10			AC = Date the complaint is closed.			
7.005		Contested Case Administrative Records		AC	1			AC = All appeals exhausted.			
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.	



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7.008		Electronic Data Bank (Enforcement Tracking)		PM						Unless expunged per Rule Board 78.11.	