

September 23, 2021



Megan Holloway
Deputy General Counsel
Texas State Board of Pharmacy
333 Guadalupe St.
Suite 3-500
Austin, Texas 78701

Dear Ms. Holloway,

Your agency's records retention schedule is approved for use as of **9/21/2021**, 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 Please ensure that all old copies of the schedule are superseded with this certified copy.

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

Commission Chair
Martha Wong

Members
David C. Garza
F. Lynwood Givens
David Iglesias
Arthur T. Mann
Bradley S. Tegeler
Darryl Tocker

Director and Librarian
Gloria Meraz

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 **September 2026**.

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:

Anne Poulos
(512) 463-6627
apoulos@tsl.texas.gov

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

Sincerely,

A handwritten signature in black ink, appearing to read "CK" or similar initials.

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 515
Agency Name Texas State Board of Pharmacy

(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 Megan Holloway
Name (Print or type) Megan Holloway
Date 9/7/2021

Section 2. Approvals

(Submitting agencies do not write in this section)

State Auditor's Office
Signature
Name (Print or type) Not Required at This Time
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 9-21-2021

Cert/Recert No. 8 Amendment No.

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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SLR 105
Rev. 2017-07

Retention Codes (field 7)

AC – See field 9 for specific records series definition
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 US – Until Superseded

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 R/O – Review by State/University Archivist

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					Years	Months	Days				
CATEGORY 1: ADMINISTRATIVE RECORDS											
1.1 GENERAL											
11002	1.1.002	Audits	Audits and reviews performed by or on behalf of TSBP, including the working papers that support the audit. Also includes audits performed on TSBP.	AC	7			AC = Publication or release of final audit findings.		The State Auditor’s Office (SAO) retains any copies of its audits performed on Texas state agencies. See RSIN 5.4.018 and 5.4.019 for Audit Plan Records.	
11004	1.1.004	Legislative Appropriations Requests (LAR)	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.		Files contain confidential & open records. Restricted Access. ARCHIVES NOTE: 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.	



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11006	1.1.006	Complaint and Feedback Records	Complaints and other unsolicited feedback received by TSBP from the public concerning the agency and records pertaining to the resolution of complaints.	AC	2			AC= Date of receipt, action taken, or final disposition of the complaint, whichever comes last.		CAUTION: If a complaint becomes the subject of litigation, it must be included in and is subject to the minimum retention period of RSIN 1.1.048.	



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					Years	Months	Days				
11007	1.1.007	Correspondence – Administrative	Incoming/outgoing and internal leadership, supervisory, managerial, executive, administrative, substantive, and other high-level correspondence in any media, including electronic communication, pertaining to the formulation, planning, implementation, interpretation, modification, or redefinition of the programs, services, or projects of TSBP and the administrative regulations, policies, and procedures that govern them.		4				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 RSIN 1.1.008 should be used only for correspondence that is not included in or directly related to another records series on the agency's approved schedule. For example, a memorandum that documents an appropriations request must be retained for the minimum retention period prescribed by RSIN 1.1.004; a letter concerning an audit for that prescribed by RSIN 1.1.002, etc. See also RSIN 1.1.011.</p>	



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					Years	Months	Days				
11008	1.1.008	Correspondence, General, Routine	Non-administrative incoming/outgoing and internal correspondence, in any media, including electronic communication, pertaining to or arising from the routine operations of the policies, programs, services, or projects of TSBP.		2					See comment to RSIN 1.1.007. See also RSIN 1.1.010.	
11010	1.1.010	Directives	Any document that official initiates, rescinds or amends general office procedures.	US	1						
11011	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 TSBP.	US	3				A		



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11013	1.1.013	Calendars, Appointment, and Itinerary Records	Calendars, appointment books of programs, and scheduling or itinerary records, purchased with state funds or maintained by staff during business hours that document appointments, itineraries and other activities of agency officials or employees.	CE	1				R	<p>ARCHIVES NOTE: Only the calendars, appointment & 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 the retention periods.</p> <p>CAUTION: A record of this type purchased with personal funds, but used by a state official or employee to document his or her work activities may be a state record and subject to this retention period. See Open Records Decision 635 issued in December 1995 by the Attorney General.</p>	



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11014	1.1.014	Legal Opinions and Advice	From agency legal counsel or the Attorney General, including any requests eliciting the opinions.	AV					R	CAUTION: Does not include legal opinions or advice rendered on a matter in litigation or with regard to pending litigation, or opinions rendered for Public Information Act Requests. See RSIN 1.1.048, 1.1.020, and 1.1.021. ARCHIVES NOTE: 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.	
11019	1.1.019	Public Relations Records	News, press releases, or any public relations files maintained or issued by TSBP. Includes print, electronic, audio, and audiovisual records.		2				R		



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					Years	Months	Days				
11020	1.1.020	Public Information Requests – Not Excepted	Includes all correspondence and documentation relating to requests for records that are furnished to the public under the Public Information Act (Chapter 552, Government Code). Also includes withdrawn requests.	AC	1			AC = Date request fulfilled or withdrawn.			
11021	1.1.021	Public Information Requests – Excepted	Includes all correspondence and documentation relating to requests for records that are excepted under the Public Information Act (Chapter 552, Government Code), including records provided to the legislature under section 552.008.	AC	2			AC = Date of notification that records are excepted.			



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					Years	Months	Days				
11023	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	Included in annual report. Archival requirement will be met by sending required copies of annual report to Publications Depository, State Library & Archives ARCHIVES NOTE: Only charts showing the overall arrangement and administrative structure of the state agency need to be transferred to the Archives and Information Services Division, Texas State Library and Archives Commission. Organizational charts showing division/department level detail are not considered archival.	
11024	1.1.024	Plans and Planning Records	Plans and records relating to the process of planning new or redefined programs, services or projects of TSBP that are not included in nor 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.	
11026	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.			



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					Years	Months	Days				
11027	1.1.027	Proposed Legislation	Drafts of proposed legislation and related correspondence.	AV							
11038	1.1.038	Customer Surveys	Surveys soliciting feedback from customers or clients of TSBP, and the statistical data maintained rating TSBP'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.	
11040	1.1.040	Speeches, Papers & 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.	
11043	1.1.043	Training Materials	Instructional materials and other records developed by an agency associated with training the entities or non-personnel individuals it regulates or serves, including but not limited to training manuals, course registration, class rosters, sign-in sheets, syllabuses, course outlines, and similar training aids used in external training programs.	AC	1			AC = Close of training session, after training materials superseded, or termination of training program, as applicable.		See RSIN 3.3.030 for internal personnel training materials. CAUTION: Does not include hazardous material training records. See RSIN 5.4.007.	



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11048	1.1.048	Litigation Files	Records created by or on behalf of TSBP 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 a 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.	
11053	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 (TEC).	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.			



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					Years	Months	Days				
11055	1.1.055	Strategic Plans	Operational strategic plans, which include descriptions of information resources 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 1st of odd-numbered calendar years.		ARCHIVES NOTE: 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.	
11056	1.1.056	ADA (Americans with Disabilities Act) Documentation	Self-evaluations and plans documenting compliance with the requirements of the Americans with Disabilities Act.		3						28 CFR 35.105(c).



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					Years	Months	Days				
11057	1.1.057	Transitory Information	<p>Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series.</p> <p>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 any specific agency transaction.</p>	AC				AC = Purpose of record has been fulfilled.		<p>Restricted access. Contains confidential and open records.</p> <p>CAUTION: Records management officers should make certain records 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.</p> <p>The disposal of transitory information need not be documented through destruction signoffs (RSIN 1.2.001) or in records disposition logs (RSIN 1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (RSIN 1.2.014).</p>	



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11058	1.1.058	Meetings, Agendas and Minutes of Open	<p>RSS Definition: Agendas and minutes of state boards, committees, commissions, and councils that conduct open meetings as required by Chapter 551, Government Code.</p> <p>TSBP Previous Definition: (A) Official minutes & agenda of agency when conducting open meetings as defined in Tex.Government Code, Chapter 551. (B) Supporting Documentation (documents submitted at meetings, including exhibit items, documentation for agenda items, etc.)</p>	PM					A	<p>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.</p> <p>92-515-001 11-515-019 Microfilm Reels 3/29/11</p> <p>CAUTION: This records series and RSIN 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. must be included in the records retention schedule of the administering agency.</p>	



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					Years	Months	Days				
11059	1.1.059	Meetings, Agendas and Minutes or Audiovisual Recordings of Closed	Agendas, minutes, or audiovisual 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.		See caution comment at RSIN 1.1.058.	Government Code, 551.104(a).
11060	1.1.060	Meetings, Audiovisual Recordings of Open	Audiovisual recordings of open meetings of state boards, commissions, committees, and councils.	AC			90	AC= Approval of written minutes of the meeting by the governing body of TSBP.		CAUTION: It is an exception to the AC+90 days retention that if an agency does not prepare written minutes, it must retain recordings of open meetings permanently, following the same retention requirements of RSIN 1.1.058. See also caution comment at RSIN 1.1.058.	
11061	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= Approval of the written minutes by the governing body.		SEE caution comment at item number 1.1.058.	



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11062	1.1.062	Meetings - Supporting Documentation	Documents submitted at meetings of state boards, commissions, committees, and councils, including exhibit items, documentation for agenda items, public comment forms, 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 RSIN 1.1.058.	
11063	1.1.063	Staff Meeting Minutes and Notes	Minutes or notes, and supporting documentation taken at internal agency staff meetings		1						
11064	1.1.064	Agency Performance Measures Documentation	Any records needed for the documentation of output, outcome, efficiency, and explanatory measures in the agency's appropriations request or strategic plan, and for the performance measures used to manage the agency.	FE	3					See RSIN 1.1.068 for reports on agency performance measures. 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.	



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					Years	Months	Days				
11065	1.1.065	Reports, Studies and Surveys (Non-Fiscal) – Raw Data	Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV						See RSIN 1.1.067 for reports produced from raw data. CAUTION: Does not include source documentation used for information or data included in or directly related to another records series in this schedule. See RSIN 1.1.064.	
11066	1.1.066	Reports - Biennial or Annual Agency (Narrative)	Biennial narrative reports to the governor and legislature as required by TSBP'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.		ARCHIVES NOTE: 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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11067	1.1.067	Reports and Studies (Non-Fiscal)	Annual, sub-annual, or special reports or studies on non-fiscal aspects of TSBP's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with TSBP that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities		3				R	See RSIN 1.1.065 for raw data used to produce reports. ARCHIVES NOTE: 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.	
11068	1.1.068	Reports on Performance Measures	Quarterly and annual reports on agency performance measures submitted to the executive and legislative offices.	AC	6			AC = September 1 of odd-numbered calendar years		See RSIN 1.1.064 for documentation used to produce reports on agency performance measures.	
11069	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.		1					CAUTION: If reports are used to document performance measures, see RSIN 1.1.064.	



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11070	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	Examples: Accounting P & P, Board Member P & P, Vehicle Guidelines, Risk Manual, Safety Manual. ARCHIVES NOTE: 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.	
11072	1.1.072	Public Information Reports	Reports made to the Office of Attorney General (OAG) on TSBP's Public Information Act activities, per Government Code, 552.010.		2						
11073	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	CAUTION: These records may be maintained with related information, including meeting notices, proofs of publication, and meeting minutes, and require a longer retention period	



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11074	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		
11075	1.1.075	Alternative Dispute Resolutions – Final Agreement	Final Agreement described by Government Code, §2009.054(c), associated with a matter conducted under an alternative dispute resolution procedure in which personnel of a state agency participated as a party on the agency’s behalf.	AC	4			AC = Date of final agreement.			Texas Civil Practice and Remedies Code, Chapter 154.071
11076	1.1.076	Subpoenas	Subpoenas for production of evidence produced for litigation in which the state agency is not a party. Includes legal documents requiring recipient to appear in court to testify, or to produce records to be used in litigation.	AC				AC = Date request fulfilled		For subpoenas related to litigation in which the state agency is a party, see RSIN 1.1.048.	



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11077	1.1.077	Release of Records Documentation	Records that document the release of records or information through any method other than a Public Information Act request or subpoena (including employment verification).	AC				AC = Date records released		See RSIN 1.1.020 for records released under the Public Information Act. See RSIN 1.1.076 for records produced for a subpoena. See RSIN 1.1.048 for records produced for litigation. CAUTION: Some records releases may require longer retention period. Agencies must determine if longer retention period is required based on any federal or state statutes or regulations that apply to the agency's functions. Agency legal staff should be consulted.	
11078	1.1.078	Waivers of Liability	Waivers of liability, including statements signed by volunteers acknowledging non-entitlement to benefits, agreeing to abide by state agency policies, etc.	AC	3			AC = Date of cessation activity for which the waiver was signed.		CAUTION: If an accident occurs to any person covered by a signed waiver of liability, it must be retained for the same period as accident reports. See RSIN 5.4.001 and 5.4.014.	
1.2 RECORDS MANAGEMENT											



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12001	1.2.001	Destruction Authorizations	Documents authorizing final disposition of records under a certified records retention schedule. Records may also include destruction authorizations (e.g. form RMD 102) approved by Texas State Library and Archives Commission.	FE	3					CAUTION: If destruction authorizations are maintained as part of RSIN 1.2.010 (Records Disposition Logs), then longer retention period applies.	
12003	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.			
12005	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 TSBP, 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.	



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12006	1.2.006	Records Transmittal Form	Forms used to track the transmittal of records to/from onsite and offsite storage areas or a transfer of physical custody.	AV							
12010	1.2.010	Record Disposition Logs	Logs or similar records listing records disposed of by an agency, which might include records series title, dates of records, and date of disposition.		10					CAUTION: Disposition can mean destroyed or transferred.	
12011	1.2.011	Record Center Storage Approval Forms (RMD106)	Agency copy of form RMD 106 granting a state agency the authorization to store records at the State Records Center.	AV						Obsolete record	
12014	1.2.014	Records Management Plan	Records management plans and similar records that establish the policies and procedures under which records and information are managed in an agency.	US	1						
1.3 STATE PUBLICATIONS											



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					Years	Months	Days				
13001	1.3.001	Agency Publications	One copy of each state publication as defined on page xi of the Texas State Records Retention 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.		CAUTION: Many state publications must be submitted to the Texas State Publications Depository Program, Texas State Library and Archives Commission, by law (Government Code, 441.103-441.105). 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. 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).	



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					Years	Months	Days				
13002	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	<input type="checkbox"/> See RSIN 1.3.001 for final State Publications created from development files. ARCHIVES NOTE: 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.	
CATEGORY 2: AUTOMATION RECORDS											
2.1 AUTOMATED APPLICATIONS											



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21002	2.1.002	Master Files and Application Data	Relatively long-lived computer files containing organized and consistent sets of complete and accurate electronic records. Examples include, but are not limited to, data tables of relational databases used by applications or computer programs	AC				AC= Until electronic records are transferred to and made usable in a new system 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.		CAUTION: Records management officers must be certain before assigning the retention period of AC to agency automated process-ing files that the files do not fall under records series listed else-where.	
21007	2.1.007	Computer Software Programs	Agency-developed automated software applications, operating system files, and associated processing files, including job control language, programs, applications, scripts, source code, etc.	AC				AC = Until electronic records are transferred to and made usable in a new software environment or there are no electronic records being retained to meet an approved retention period that require the software to be retrieved and read.		CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.	13 TAC 6.94.



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					Years	Months	Days				
21008	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.		CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.	13 TAC 6.94.



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					Years	Months	Days				
21009	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.		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
21010	2.1.010	Audit Trail Records	Files needed for electronic data audits. Records include but are not limited to: reports showing transactions accepted, rejected, suspended, and/or processed; history files or tapes; records of updates to application files; and security logs.	AC				AC = All audit requirements have been met		Example: Published web content	



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					Years	Months	Days				
2.2 COMPUTER OPERATIONS & TECHNICAL SUPPORT											
22001	2.2.001	System or Computer Monitoring Records	Hardware and software components for monitoring agency's computer system resources and performance.	AV						The disposal of monitoring records that are automatically overwritten need not be documented through destruction authorizations (RSIN 1.2.001) or in records disposition logs (RSIN 1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (RSIN 1.2.014).	
22010	2.2.010	Data Processing Policies and Procedures	Manuals, guidelines, or similar documents establishing data processing policies and procedures in an agency in such areas as access and security, systems development, data retention and disposition, data ownership, production control, system back-up, etc.	US	3					CAUTION: Does not include technical documentation of procedures necessary for reading or processing of electronic records. See RSIN 2.1.009.	



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22014	2.2.014	Internet Browser Files	A record of web pages visited during an internet session, including data files of user-specific information created by the webserver, that allows users to access previously visited pages more quickly or to generate a record of usage of a state-owned computer.	AV						The disposal of internet history records need not be documented through destruction authorizations (RSIN 1.2.001) or in records disposition logs (RSIN 1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (RSIN 1.2.014).	
22016	2.2.016	Software Registrations, Warranties & License Agreements	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						
22017	2.2.017	Help Desk Tickets	Records documenting the request for and response to help desk tickets received by divisions or units, such as information technology.	AV							
22018	2.2.018	Biennial Information Security Plan	Biennial information security plan for protecting the security of the agency's information	US							1 TAC 202.23; 1 TAC 202.73.
CATEGORY 3: EMPLOYMENT RECORDS											
3.1 EMPLOYEE RECORDS											



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31001	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.		CAUTION: Does not include ADA Accommodation Requests. See RSIN 3.1.042.	29 CFR 1602.31
31002	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.			
31006	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.	AC	3			AC = Termination of counseling.			
31011	3.1.011	Employee Benefits	Agency copies of information relating to the selection by employees of life, disability, 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.		CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for RSIN 3.2.001.	



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					Years	Months	Days				
31012	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
31013a	3.1.013a	Employment Contracts and Volunteer/Intern Agreements - 9/1/2015 and After	Includes a contract or agreement regarding the terms and conditions of employment of an individual and a contract with a vendor for temporary staffing services. Executed, renewed, or amended on or after September 1, 2015.	AC	7			AC= Expiration or termination of the contract according to its terms.			SB20 (84th Leg.)
31013b	3.1.013b	Employment Contracts and Volunteer/Intern Agreements - 8/31/2015 and Prior	Includes a contract or agreement regarding the terms and conditions of employment of an individual and a contract with a vendor for temporary staffing services. Executed, renewed, or amended on or before August 31, 2015.	AC	4			AC= Expiration or termination of the contract according to its terms.			SB20 (84th Leg.)



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31014	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; polygraph examination results; 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.		CAUTION: Does not include criminal history checks; see RSIN 3.1.026. Does not include drug screening test results; see RSIN 3.1.040a/b/c. Does not include pre-employments skills tests; see RSIN 3.3.027 and 3.3.028.	29 CFR 1602.31
31018	3.1.018	Grievance Records	Records relating to the review of employee grievances against personnel policies, working conditions, etc.	AC	2			AC = Final decision on the grievance.		CAUTION: Does not include formal complaints filed by an agency employee with the Equal Employment Office (EEO) of the U. S. Department of Labor (DOL). See RSIN 1.1.048.	
31019	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)



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31020	3.1.020	Personnel Corrective Action Documentation	Corrective actions are those actions which do NOT affect pay, status, or tenure and are imposed to correct or improve an employee's job performance	AC	5			AC = Termination of corrective action.		CAUTION: If, during the retention period of this records series, any part of this series is used to document and support personnel disciplinary action under RSIN 3.1.021, all documentation from this series used to support disciplinary action must be retained for the minimum retention period described by RSIN 3.1.021.	



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31021	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 used to document evidence of employee self-improvement efforts, as well as favorable and unfavorable communication.	AC	5			AC = Termination of employment.			
31022	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 employment.		2						29 CFR 1602.31
31023	3.1.023	Position / Job Descriptions	Job descriptions, including all associated task or skill statements, for positions at TSBP.	AC	4			AC = Until superseded or job eliminated.			40 TAC 815.106(i)



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31024	3.1.024	Physical Examinations/ Medical Reports	Medical or physical examination reports or certificates of employees for whom periodic monitoring of health or fitness is required.	AC	2			AC = Until Superseded or Termination of Employment		CAUTION: Does not include pre-employment physical examinations. See RSIN 3.1.014. Does not include medical or physical examinations for employees exposed to hazardous materials. See RSIN 5.4.016a/b.	
31026	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		Information is destroyed after it is used for the immediate purpose for which it was obtained. CAUTION: An agency that is authorized to obtain a criminal history record information from DPS must refer to its agency's legislation or see Subchapter F, Chapter 411, Government Code for appropriate retention and use of this information.	
31027	3.1.027	Training and Educational Achievement Records (Individual)	Certificates of completion, transcripts, test scores, or similar records documenting the training, testing, or continuing education achievements of an employee.	AC	5			AC = Termination of employment			



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31029	3.1.029	Employment Eligibility, Documentation or Verification of	Federal Reporting Form (INS I-9)	AC	1			AC= 3 years after date of hire or 1 year after termination of employment, whichever is later.			8 CFR 274a, 2(b)(2)(i)(A) and (c)(2)
31034	3.1.034	Resumes – Unsolicited	Retention period applies if an agency replies to the sender of a resume that it will be kept on file should future job openings occur.	AV						See RSIN 3.1.014 for resumes, whether solicited or unsolicited, that are used in any way in the employment selection process.	
31037	3.1.037	Employee Recognition Records	Awards, incentives, tenure, etc.	AC	5			AC = Termination of employment.			
31038	3.1.038	Public Access Option Form	Form completed and signed by employee or official, or former employee or official, electing to keep home address, home telephone number, social security number, and family information open or confidential under the Public Information Act, Government Code §552.024.	US						CAUTION: Most recent public access election information must be kept as long as the former employee verification records. See RSIN 3.3.011.	



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31039	3.1.039	Ombudsman Records	Consultation records, notes, letters, memos, emails, reports, and other documentation.	AC				AC= Final decision or matter closed.		CAUTION: Does not include formal complaint filed with EEOC (Equal Employment Opportunity Commission). If matter becomes a grievance or the subject of counseling or litigation, or employee is subject to disciplinary action, the records are subject to retention in the appropriate records series. See RSIN 1.1.048, 3.1.006, 3.1.018, 3.1.020, and 3.1.021.	
31041	3.1.041	Employee Acknowledgement and Agreement Forms	Agreements between employee and agency authorizing certain actions, including acknowledgement forms, telecommuting agreements, outside/secondary employment authorizations, or other documentation that show proof of receipt and awareness of and adherence to agency policies and procedures.	AC	2			AC= Until superseded, obsolete, or date of separation, as applicable.			
31042	3.1.042	ADA Accommodation Requests	Employee or applicant requests for reasonable accommodation under the ADA (Americans with Disabilities Act).	AC	2			AC= For employees, termination of employment; for job applicants who were not selected, date of application.			29 CFR 1602.31.



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31043	3.1	Employment Verifications	Request for Employment Verifications from third-parties, information may include but is not limited to payroll information, dates of service, probability of continued employment, and/or other employment or payroll information.	AC	1			AC= Date Verification Sent			
3.2 PAYROLL											
32001	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 is sooner.			
32002	3.2.002	Employee Earning 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						40 TAC 815.106(i)
32003	3.2.003	Federal Tax Records	Includes 1099, W2, 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)
32004	3.2.004	Income Adjustments Authorizations	Used to make increases or decreases to employees' gross pay, FICA, retirement, or in the computation of taxes.		2						29 CFR 516.6.(c).



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32005	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.			25 CFR 31.6001-1 (e)(2).
32006	3.2.006	Wage Rate Tables	Records defining the wage or salary rate for each position in the agency expressed in dollars, grades, or step numbers		2						29 CF 516.6(a)(2).
32007	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.			
32008	3.2.008	Direct Deposit Application/ Authorizations	Forms used to deposit employee's earnings into a specified personal account.	AC				AC= Until superseded, cancelled, or last payment deposited after termination of employment, whichever applicable.			
32009	3.2.009	State Deferred Compensation Records	Records documenting the amount of pension or deferred compensation earned by individual employees.		4						
3.3 PERSONNEL ADMINISTRATION											
33001a	3.3.001a	Affirmative Action Plans - Employees	Affirmative action plans for regular employees		5						29 CFR 30.12(d).
33001b	3.3.001b	Affirmative Action Plans - Apprenticeship Programs	Affirmative action plans for apprenticeship programs		2						41 CFR 60-1.12(a)



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33004	3.3.004	Benefit Plans	Employee benefit plans such as pension; life, health, and disability insurance; deferred compensation; etc., including amendments	AC	1			AC= Until superseded or plan terminated.			29 CFR 1627.3(b)(2).
33007		Credentials	Enforcement Badges	AC				AC= Termination of employment			
33010	3.3.010	Labor Statistics Report	Reports providing statistical information on labor force		3						
33011	3.3.011	Former Employee Verification Records	Minimum information needed to verify employment. Includes: name; social security number; exact dates of employment; last known address; and most recent public access authorization.	AC	75			AC = Termination of employment.		See RSIN 3.1.038.	
33015	3.3.015	Position/Job Classification Review File	Records relating to reviewing and monitoring of job classifications within an agency	US	3						
33020	3.3.020	Work Schedules / Assignments	Work, duty, shift, crew, or case schedules, rosters, or assignments		1						
33022	3.3.022	Texas Workforce Commission (TWC) Reports	Reports to the agency from TWC or its predecessor pertaining to employees.		3						



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33023	3.3.023	Reimbursable Activity Records	Requests and authorizations for travel; participation in educational programs, workshops, or college classes; or for other work-related activities for which the expenses of the employee are defrayed or reimbursed.	FE	3						
33024	3.3.024	Personnel Policies & Procedures	Any internally distributed manuals, guidelines, or similar records that define agency wide policies and procedures concerning the personnel of TSBP	US	3					Employee Handbook	
33025	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						
33026	3.3.026	Agency Staffing Report	Any reports compiled by TSBP or other agency on behalf of TSBP on aspects of personnel staffing, including listings of all staff by program or name, staff hired during a month, detailed listings of employees within its organizational structure, position vacancies, analyses of turnover rates and seasonality of employment, etc.	US	3						



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33027	3.3.027	Aptitude and Skills Tests	Aptitude, competency, or skills tests and checklists required of job applicants or of current personnel to qualify for promotion or transfer, including validation records.	AC	2			AC = Until superseded or no longer used by the agency.		CAUTION: One copy of each different master test (different in terms of either questions or administration procedures) should be retained for the period indicated.	29 CFR 1602.31
33028	3.3.028	Aptitude and Skills Tests (Applicant Tests Papers)	Completed aptitude, competency, or skills test papers and checklists of job applicants or of current personnel taking a test to qualify for promotion or transfer.		2						29 CFR 1602.31
33030	3.3.030	Internal Training Administration Records	Records documenting the planning, development, implementation, administration and evaluation of in-house training programs, including but not limited to training manuals, course registration, class rosters, sign-in sheets, syllabuses, course outlines, and similar training aids used in in-house training programs.	AC	2			AC = Close of training session, after training materials superseded, or termination of training program, as applicable.		Orientation Manuals TSBP In-House CE Training Rosters See RSIN 1.1.043 for external training records. See RSIN 3.1.027 for individual employee training records. CAUTION: Does not include hazardous material training records. See RSIN 5.4.007.	
33031	3.3.031	EEO Reports and Supporting Documentation	Includes documentation used to complete EEO (Equal Employment Opportunity) reports.		3						29 CFR 1602.32, 1602.48, and 1602.50.



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33032	3.3.032	Equal Pay Records	Reports, studies, aggregated or summary data, and similar documentation compiled to monitor and demonstrate compliance with the federal Equal Pay Act.		2						29 CFR 1620.32©
33033	3.3.033	Recruitment Plans	Diversity and recruitment plans and related		3						Texas Labor Code,
3.4 TIME AND LEAVE RECORDS											
34001	3.4.001	Accumulated Leave Adjustment Requests	Used to create employee leave balances, to transfer leave balances when an employee transfers positions, to adjust carry-over balances at end of fiscal year, to correct errors on leave accounts on separated employees	FE	3						
34002	3.4.002	Leave Status Report	Cumulative report is issued each pay cycle and provides employee leave status information for each position.	FE	3						
34004	3.4.004	Overtime Schedules and Authorizations	Records created to schedule time worked by employees outside of or in addition to their regular working hours, including approval authorizations.		2					CAUTION: Only includes overtime schedules and authorizations. See RSIN 3.4.006 for timekeeping records.	
34006	3.4.006	Time and Attendance Records	Records documenting individual employee's hours worked, including work schedules and documentation evidencing adherence to or deviation from normal hours for those employees working on fixed schedules.	FE	4						40 TAC 815.106(i)



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34007	3.4.007	Time Off and/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).
34008	3.4.008	Sick Leave Pool Documentation	Records documenting number of hours transferred in and out of comprehensive sick leave pool.	FE	3						
Category 4: Fiscal Records											
4.1 GENERAL ACCOUNTING RECORDS											
41001	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						



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41009	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						
4.5 REPORTS											
45002	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					Developmental tool includes monthly budget reports, the Internal Operating Budget, estimated revenue analysis	



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45003	4.5.003	Annual Financial Reports	Annual Financial Reports (AFR) required by the General Appropriations Act (100 Day Report).	AC	6			AC = September 1st of odd-numbered calendar years		<p>ARCHIVES NOTE: 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>CAUTION: 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>	



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45007	4.5.007	USAS Reports - Daily/Monthly	Periodic reports compiled from information entered into the Uniform Statewide Accounting System (USAS).	AC				AC = Receipt/Reconciliation of Annual Report		Archived to zip file after FE + 1	
45009	4.5.009	USAS Reports – Annual	Yearly report compiled from information entered into the Uniform Statewide Accounting System (USAS).	FE	3					Archived to zip file after FE + 1	
4.7 OTHER FISCAL											
47001	4.7.001	Accounting Policies and Procedures Manual	Records documenting the internal and external procedural requirements with respect to the accounting department of TSBP	US	3						
47003	4.7.003	Uncollectible Accounts	Records of accounts deemed uncollectible, including write-off authorizations and returned checks, warrants, and drafts	AC	3			AC = Date account deemed uncollectable.			
47004	4.7.004	Capital Access 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						



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					Years	Months	Days				
47005	4.7.005	Claim Files	Records documenting requests for payment of a sum of money according to the terms of a policy or contract.	AC	3			AC = Resolution of claim.			
47008	4.7.008	Grant Records	This series documents state, federal, and other sponsored grant projects participated in or administered by state agencies. It includes grant authorization records, which provide evidence of the award of grants to or by agencies; grant/project financial or performance reports, which are periodic reports of financial activity and/or program performance related to grants received or made by agencies.	AC	3			AC= Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (the Common Rule).		CAUTION: Retention requirements may vary depending on the specific funding agency. Records in this series may be subject to Government Code 441.1855. Agencies must ensure that records are retained for the appropriate retention period.	
47010	4.7.010	Long-Term Liability Records	Records documenting financial obligations of a state agency that are not payable within one year of the date of the balance sheet, including debentures, loans, deferred tax liabilities, bonds, and pension obligations.	AC	3			AC = Retirement of debt.			
47012	4.7.012	Signature Authorizations	Signature cards or similar records establishing authority of a TSBP employee to initial or authorize financial transactions on behalf of the agency	AC	4			AC = Until superseded, date of expiration, or termination of employee, whichever is sooner.			



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					Years	Months	Days				
47014	4.7.014	Indirect Cost Plans	Indirect cost plan and supporting documentation created or maintained in the development of the plan.	AC	3			AC= If submitted for negotiation of rate, date of submission; if not submitted for negotiation, the end of the fiscal year covered by the proposal, plan, or other computation.			2 CFR 200.333(f)(1) and (2).
47015	4.7	USAS System Security Data (Confidential Tax/Vendor Information Agreement)		AC	5			AC = as long as user has access			
4.8 - BANKING RECORDS											
48001	4.8.001	Banking Records	Bank statements, credit card statements, cancelled checks, check registers, deposit slips, debit and credit notices, reconciliations, and other banking related records.	FE	3						
4.9 - BUDGETING											
49001	4.9.001	Annual Operating Budgets	Required by the General Appropriations Act. Includes encumbrances and documentation about budget transfers and revisions, as well as detail charts of accounts.	FE	3						
Category 5: SUPPORT SERVICES											
5.1 GENERAL											



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					Years	Months	Days				
51001a	5.1.001a	Contract Administration Files - 9/1/2015 and After	<p>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.</p> <p>Executed, renewed, or amended on or after September 1, 2015.</p>	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.	SB20 (84th Leg.)



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					Years	Months	Days				
51001b	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.	SB20 (84th Leg.)
51003	5.1.003	Delivery Reports	Records documenting incoming or outgoing deliveries, including through private courier services.		2						
51004	5.1.004	Mail and Telecommunications Listings	Any mailing address, telephone or fax number or e-mail addresses maintained by the TSBP	US							
51005	5.1.005	Postage Records	Records and reports of postage expenses, including postal meter usage	FE	3						



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51012	5.1.012	Charge Schedules/Price Lists	Schedules of prices charged by an agency for services to the public or other agencies, including any documentation used to determine the charges.	US	3						
51013a	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.			SB20 (84th Leg.)
51013b	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.			SB20 (84th Leg.)



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					Years	Months	Days				
51014	5.1.014	Office Procedures	Any internally distributed manual, guidelines, or similar records that establish standard office procedures for an agency, e.g. agency style manuals, telephone protocols, mail room procedures, print shop and photocopy ordering instructions.	US	1						
51015	5.1.015	Correspondence Tracking Records	Any record created by an agency to track any type of incoming and outgoing correspondence or packages by the U.S. Postal Service (USPS) or by private couriers.		1						
51017	5.1.017	Contract Log	List of agency contracts, leases, and agreements, including general obligation, land lease, utilities, and construction contracts.	FE	3						
5.2 FACILITY MANAGEMENT											
52006	5.2.006	Inventory and Property Control Records	Records documenting the inventorying, maintenance, usage, and disposal of supplies, equipment, and property of a state agency. Includes lost, stolen, and damage reports.	FE	3					See RSIN 5.2.008 for the maintenance logs of individual pieces of equipment.	



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					Years	Months	Days				
52008	5.2.008	Inspection, Repair, and Maintenance Records - Equipment	Equipment history file, which may include logbooks and requests for installation, moves, service, repair, etc.	LA	3					For service agreements or contracts related to equipment repairs and service, retain in accordance with RSIN 5.1.001 a/b. For vehicle maintenance records, see RSIN 5.6.003	
52010	5.2.010	Equipment Manuals		LA							
52011	5.2.011	Equipment Warranties		AC	1			AC = Expiration of Warranty			
52012	5.2.012	Estimate Files (Supply and Repair Cost Estimates)	Quotes for minor construction and repair projects and supplies. Includes supporting documentation, as applicable.		1						
52016	5.2.016	Inventory System Update Listings	Listing shows all additions, changes, deletions, and transfer times for the monthly processing period.	AC				AC = Transfer of information into annual inventory listing.		See RSIN 5.2.006 for annual inventory listing.	
52019	5.2.019	Service Orders	Requests or work orders for repairs or maintenance to facilities, vehicles, or equipment completed by internal agency personnel or external service providers.		1						
52026	5.2.026	Facilities Reservation Logs	Reservation logs or similar records relating to the use of agency facilities such as meeting rooms, auditoriums, etc.		2						
52027	5.2.027	Space Utilization Reports	Reports summarizing efficiency of facility space utilization, which may include data on room usage, demand, allocation, and capacity.	AV							



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					Years	Months	Days				
52029	5.2.029	Returned Mail	Documentation of mail returned by the postal or other mail delivery services as undeliverable.	AC	1			AC = Date returned.		CAUTION: If corrected address provided and mail rerouted, maintain address update documentation for prescribed retention period.	
5.3 PURCHASING											
53004	5.3.004	Shipping Information	Shipping information, including order acknowledgements, packing slips, and related documentation.	AV						CAUTION: Some shipping information may require longer retention period. State agencies must determine if longer retention period is required based on the type of materials shipped to or from their agency.	
53007a	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 instrument according to its terms or decision not to proceed with the bid.			SB20 (84th Leg.)



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					Years	Months	Days				
53007b	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						SB20 (84th Leg.)
53007c	5.3.007c	Bid Documentation – Invalid Bids	Invalid bids that do not meet agency submission requirements and are not included in bid evaluation process (e.g. withdrawn, missed submission deadline, incomplete submission, etc.)	AC	2			AC= Date of notification of denial or date of withdrawal, as applicable.			SB20 (84th Leg.)
53008	5.3.008	Purchasing Log	Log, register, etc., providing a record of purchase orders issued, orders received, and similar data on procurement status.	FE	3						
53009	5.3.009	Requests for Information	Requests for information preliminary to the procurement of goods or services by direct purchase or bid.	AC				AC= Decision not to proceed with the procurement.		See RSIN 1.1.020 and 1.1.021 for public information requests. CAUTION: If the request for information leads to request for proposal or bid, the request for information documentation should be retained in accordance with RSIN 5.3.007a/b/c.	



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					Years	Months	Days				
53010	5.3.010	Vendor Records/W-9	W-9 IRS Form used to request a taxpayer identification number (TIN) for reporting information to the Internal Revenue Service (IRS). This includes W-9 forms received by a state agency from vendors.	AC	3			AC= Date account is opened or date instrument purchased.			26 CFR 31.3406(h)-3(g).
5.4 RISK MANAGEMENT											
54001	5.4.001	Occupational Accident Reports and Associated Documentation	Accident or occupational disease reports (by supervisors and employees) and other associated reports required to be submitted to the State Office of Risk Management (SORM) or its predecessors or maintained internally on accident frequency.	CE	5					The Texas Department of Insurance Division of Worker's Compensation retains copies of the reports submitted to it for 50 years. See RSIN 5.4.014a/b for non-employee accidents.	29 CFR 1904.33; 28 TAC 120.1(c).
54002	5.4.002	Evacuation Plans	Plans for evacuation of agency facilities in cases of emergency	US							
54003	5.4.003	Inspection Records	Fire, safety, and other inspection records of agency facilities and equipment, including orders issued by inspectors to correct deficiencies in compliance with any code or regulations.	AC	3			AC= Inspection, or date of the correction of the deficiency if the inspection report reveals a deficiency.		CAUTION: Does not include inspection reports of building construction. See RSIN 5.2.028.	
54007	5.4.007	Hazardous Materials Training Records	Records of training given to employees in an agency hazard communications program. May include but is not limited to date of class, roster of attendees, subjects covered, and instructors.		5					See RSIN 3.1.027 for individual employee training records.	Texas Health and Safety Code, 502.009(g).



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					Years	Months	Days				
54008	5.4.008	Hazard Communication Plans	Plan that provides information to employees about the hazardous chemicals to which they may be exposed to in their workplace.	US	5					Located in Risk Management Plan	Texas Health and Safety Code, 502.009(g)
54011	5.4.011	Visitor Control Registers	Logs, registers, or similar records documenting visitors to limited access or restricted areas of agency facilities		3						
54012	5.4.012	Security Access Records	Records relating to the issuance of keys, identification cards, building passes, passwords, signed statements or similar instruments of access to agency or state facilities, equipment or automated systems.	AC	2			AC= Until superseded, date of expiration, or date of termination, whichever sooner.			
54013	5.4.013	Continuity of Operations Plans (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.	
54014a	5.4.014a	Accident Reports - Adults	Reports of accidents to adults on state property or in any other situation in which the state agency could be a party to a lawsuit.	AC	3			AC= Date of report, or if a claim is filed, after settlement or denial of claim, whichever applicable.			



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					Years	Months	Days				
54014b	5.4.014b	Accident Reports - Minors	Reports of accidents to minors on state property or in any other situation in which the state agency could be a party to a lawsuit.	AC	3			AC= Date minor reaches the age of majority, or if a claim filed, after settlement or denial, whichever applicable.			
54017	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 indicate or document what happened, when, and where; and related documentation and correspondence.		3				R	See RSIN 5.4.013 for Continuity of Operations Plans (COOP). CAUTION: 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.	
54018	5.4.018	Annual Audit Plan	Includes working papers and agency risk assessment used to develop the plan, per Texas Internal Auditing Act requirement.	AC	7			AC= After final plan has been issued.		See RSIN 1.1.002 for individual Audit records not related to the development of the Audit Plan.	Government Code, 2102.013.



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					Years	Months	Days				
54019	5.4.019	Audit Peer Review – Working Papers	Documents collected or generated as part of the process of reviewing other state agency internal audit programs. Includes but is not limited to: self-assessments, worksheets, surveys or questionnaires, evaluations, and other documents as described in the State Agency Internal Audit Forum (SAIAF) Peer Review Manual.	AC	1			AC= After final report has been issued.		See RSIN 1.1.002 for individual Audit records not related to the peer review of an Audit Plan.	Government Code, 2102.007(a)(5).
5.5 TELECOMMUNICATIONS											
55002	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.	
55007	5.5.007	Disputed Call Documentation	Documentation relating to disputed long distance calls, including documents evidencing repayment by employees for personal long distance use.	AC	3			AC= Dispute resolved or repaid + FE.			
5.6 VEHICLES											



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56003	5.6.003	Inspection, Repair, and Maintenance Records – Vehicles	Records and documentation related to inspections, repairs, and maintenance for state vehicles.	LA	1					See RSIN 5.2.008 for non-vehicle equipment maintenance records.	
56004	5.6.004	License & Driving Record Checks		AC				AC= Until superseded or until termination of employment.			
56005	5.6.005	Vehicle Use Reports	Includes mileage, fuel/oil consumption, passengers carried and other related operational information	FE	3						
56007	5.6.007	Vehicle Titles and Registrations	Vehicle titles, registration information, and owner manuals for state vehicles.	LA							
56009	5.6.009	Parking Permits or Assignments	Records documenting issuance of parking permits and assignments.	US							
CATEGORY 7: LICENSING RECORDS											
7.0 COMMON AREAS											
70000		Change of Employment and/or Address	Change of Employment and Address notices for interns, applicants, pharmacists, and technicians	FE	1						
70001		Routine Correspondence	May include verification letters, requests for information, missing item notifications, lists or label requests, and duplicate licenses.	FE	2						
70002		Returned Certificates & Mail Extract Files	Certificate returned to the agency due to invalid address or list of data used for mass mailings	AV							



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					Years	Months	Days				
70003		Criminal History Checks of Licensing Applicants	Criminal history record information on licensees, registrants, or applicants as obtained from the Department of Public Safety (DPS).	AV							
70004		Duplicate & canceled applications	Duplicate applications, or applications that have been canceled or withdrawn.	AV							
70005		Changes of Pharmacist-in-Charge Employment	Change of Pharmacist-in-Charge Forms	FE	4						
7.1 PHARMACIST APPLICANT RECORD											
71003		Applicant files – Incomplete	Includes applicants who are not eligible to take the MPJE (Multistate Pharmacy Jurisprudence Examination) or NABPLEX (North American Pharmacist Licensure Examination)	AC	2			AC = Date of last item received.			
71004		Applicant files - Complete	Includes no shows, exam failures, passed applicants but lacks hours, intern records	AC	2			AC = Date of exam eligibility; date of last exam; date internship hours are complete; or date licensed -whichever date is later.			



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71006		Pre-Applicant Information - No Applicant File	Applications that do not have exam results but has been submitted and no applicant file exists - information may include: 1. Intern Hours 2. Graduation Affidavit 3. Score Transfer Notification 4. NABP (National Association of Boards of Pharmacy) Notification	AV							
7.2 PHARMACIST											
72001		Pharmacist License File	Includes original licensing information, renewals, name changes, intern records, relicensure, and reinstatement applications.	AC	20			AC = License Issued Date			
72003		Continuing Education (CE) Audit Materials	Working documents used to verify required CEs for renewal of licensure. Includes reactivations	AC				AC = Audit is closed			
72005		Preceptor Application Forms	Applications received from licensed Pharmacists to become preceptors.	FE	2						
72006		Voided Wall Certificates	Large printed wall certificates undeliverable or returned for disciplinary reasons.	AC	1			AC = License Expiration Date			
7.3 PHARMACY											



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73000		Pending Applicant File – Incomplete	Includes applications cancelled by applicant, not completed by applicant, or withdrawn	AC	1			AC = Date of application. Contains open & confidential records			
73001		License File	Contains preliminary application and subsequent renewal applications, name changes	AC	5			AC = Closed + end of fiscal year			
7.4 PHARMACY TECHNICIAN											
74001		Pharmacy Technician File	Contains preliminary application and subsequent renewal applications, name changes, relicensure, and reinstatement applications.	AC	20			AC = License Issuance Date			
74004		CE Audit Materials	Working documents used to verify completion of the required hours of approved CE for renewal of registration. Includes reactivations.	AC				AC = Audit is closed			
7.5 INTERN RECORD											
75001		Applicant files – Incomplete	Includes applicants who have applied to be an intern but are not approved	AC	1			AC = Application Date			
75003		Registered Intern – Complete	Completed application and subsequent name changes	AC	20			AC = Intern Certification Date			
CATEGORY 8: ENFORCEMENT RECORDS											
81006		Compliance Inspection Records	Inspection reports completed during on-site or distance inspections	AC	5			AC = Completion of Inspection.			



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81008		Documents Relating to Class D Pharmacies	Petitions for expanded formulary, additions to approved expanded formularies, alternative visitation schedules, and temporary clinic sites	AC	2			AC = Expiration Date of Document			
81009		Rural Pharmacy Technician Program Files	Documents relating to the application and approved or denied applications, which if approved, would allow a pharmacy technician to perform certain duties in eligible rural hospitals.	AC	2			AC = Date of the renewal of the pharmacy license.			
81010		Pharmacy Tech-Check-Tech Program Files	Documents relating to the application and approved or denied applications, which if approved, would allow a pharmacy technician to check the work of another technician in teaching hospitals or other eligible hospitals, under certain circumstances.	AC	2			AC = Date of the renewal of the pharmacy license.			



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81011		Drug Therapy Management Program (DTM) Files	Documents relating to approved or denied notification of drug therapy management which, if approved, would allow a pharmacist to issue a prescription for a prescription drug under the protocol of a physician.	AC	2			AC = Date of approval of the DTM application.			
81012		Records Relating to Sampling of Compounded Preparations	Records that are generated following the agency's collection of a sample of a nonsterile or a sterile preparation which has been compounded by a licensed pharmacy or other type of facility that is under the jurisdiction of the agency. These records include the following types of documents: sample collection form, chain-of-custody form, reports issued by the laboratory who has analyzed the compounded preparation (e.g., certificate of analysis), and letters to licensees regarding the results of the testing of the compounded preparation.	FE	2						



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83002		Disciplinary Orders	Orders entered by the Board that document the disciplinary actions imposed on a licensee or registrant	AC	75			AC = After electronically stored		Transfer Disciplinary Orders beginning in 2051. Disciplinary Orders entered between 1907 & 1976 compiled with archival material (Board Meeting Minutes) which renders these particular orders archival. (Includes complaint) 92-515-002	
83003		Adjudication Files	Pharmacists, pharmacies, interns, technicians, if license/registration is not revoked, retired, canceled, or denied	AC	5			AC = Termination of All Sanctions		Transcripts will be removed from file & sent to Archivist to review (1.1.073)	
83005		Worksheets	Document to track the process of preparation for disciplinary notification letters.	AV						Appraised as non-archival, 8/11/99.	
83006		Investigative Documents Not Related to a Complaint	Documents used to prepare disciplinary notification letters to licensees or registrants, not including information related to the complaint (e.g., interim drafts, printouts of addresses).	AV							
83009		Evidence for Disciplinary Hearings	Items obtained or compiled during complaint investigation which may include prescription files, paper documents, drug containers, and audio and/or video records.	AC			90	AC = Close of complaint/case if case is not appealed or license is not revoked, or completion of appeal process or challenge to default proceeding or license reinstated if the case is appealed or license is revoked.			



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83010		Adjudication Scheduling Records	Schedules for informal conferences, reflecting licensees and registrants and their representatives.	FE	1						
83011		Complaints Not Relating to Criminal History and/or License/Registration Application File	Closed complaints on currently held licensees/registrants, which do not include a criminal record history report (i.e. complaints filed by consumers or opened by TSBP for non-criminal history purposes).	AC	5			AC = Close of Complaint			
83013		Complaint Files Relating to Criminal History and/or License/Registration Application File	Closed complaints on pharmacists, pharmacies, or interns that include a criminal history report or professional disciplinary action.	AC	5			AC = Close of Complaint			
83014		Complaints Relating to Licensee or Registrant Database Records	Closed complaints on pharmacists, pharmacies, or interns that include a criminal history report or professional disciplinary action as entered in the licensing database system.	AC	20			AC = Close of Complaint			
83016		Complaint Closed Due to Jurisdictional issues (without criminal action)	Complaints received against non-licensed type, i.e. a physician or other healthcare professional	AC	5			AC = Close of Complaint			



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83020		Adjudication Files of Interns, Pharmacists, Pharmacies, Technicians (that are revoked, retired, cancelled, or denied)	Files created by attorneys and legal assistants in order to maintain the preparation, delivery, and related correspondence for disciplinary notification letters and hearings before the State Office of Administrative Hearings (SOAH)	AC	20			AC = Close of Complaint			
83022		Criminal History Evaluation File	In accordance with HB 963. Acts of the 81st Legislature Session, TSBP would provide Criminal History Background Evaluation for potential licensure/registration.	AC	20			AC = Image Scan Date.			
84001		Schedule II Prescription Form	Returned form orders and invalid (voided) forms, i.e. medication written on form was not a schedule II, error was made on the form by prescriber, prescriber has lost privileges to issue schedule II prescriptions, prescriber has retired or is deceased, prescription was never dispensed by pharmacy.	AV						Forms described in 21CFR 1304.04 (h)(2).	



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84002		Notification of Disciplinary Action by Other Agency	Transmission documents for and copies of disciplinary orders entered by other agencies (Texas Medical Board, Board of Nursing, etc.) on their licensees. Notification of when there is a revocation suspension, or an action that prevents the licensee from prescribing CII (Schedule II) Prescriptions. Prescriber is then required to send back their prescription forms since they've lost their privilege (See AIN 84001)	AV							
CATEGORY 9: PRESCRIPTION MONITORING PROGRAMS (PMP) RECORDS											
91001		PMP Adherence Review Files	Controlled Substance prescription files and other documents received for review to ensure licensee adherence to PMP reporting	AC	2			AC = Date of collection			
91002		Clinical Alerts	Notifications sent out to dispensers and agencies from the Appriss system		2						
91003		RxPad Credentials	Correspondence and documents received that are used for verifying Schedule II Prescription Pad orders, including cancelling or refuding orders.		2						
91004		Degradation Report	Files relating to reported outages and/or loss of service to Appriss		3						



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91005		PMP Interconnect Agreements	Agreements between Texas Board of Pharmacy and other states regarding the data that is shared in the prescription monitoring program.	US	2						
91006		Medical Resident Suffix List	Data lists of approved suffixes already used in the Appriss system		1						
91007		Integration Requests	Reporting and working files used for calculating PMP statistics for the Annual Report		1						
91008		Certified Requests	Reports and files relating to certifying data from the AwareRx program as requested from state agencies		2						
91009		Notice of Surrender of DEA Registration	Notifications from the Drug Enforcement Agency (DEA) that revoke, suspend, or surrender an entity's DEA Registration	AV							
91010		Exemption Waivers	Any correspondence, documentation, spreadsheets relating to approving/denying requests for exemption to reporting data to PMP	AC	2			AC = Date waiver expires or is denied			
91011		Report of Lost, Stolen, or Destroyed Schedule II Official Prescription Forms	Notifications from practitioners relating to lost, stolen, or destroyed Schedule II prescription forms.		3						



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91012		Out-of-State Plans	Application, approval or denial letters, and other documentation relating to a pharmacy request for filling an out-of-state Schedule II Controlled Substance	AC	1			AC = Date plan expires or is denied			
91013		PMP Data Validation Requests	Files, verifying documents, or other records used for verifying data in the database relating to personal identifiable information, prescriber identification, prescriptions filled, etc.		3						
91014		AwareRx Account Verifications	Correspondence and files use for requesting verification of active AwareRx accounts used by Law Enforcement, Medical Examiners, and Board Investigators. May also include denied access notifications.		3						
91015		Delinquent Reporting Files	Files relating to prescribers or facilities that have not reported to the PMP database.		3						
91016		Patient Access Program Requests	Requests and documentation relating to to patient requests for personal data stored in the Prescription Monitoring Program.	AC	2			AC = Date request is completed			