



November 14, 2018

Ms. Karissa Rodriguez  
Assistant Licensing Manager  
Executive Council of Physical Therapy and Occupational Therapy Examiners  
333 Guadalupe, Suite 2-510  
Austin, TX 78701

Re: Agency records retention schedule approved for use.

Dear Ms. Rodriguez,

Your agency's records retention schedule is approved for use as of November 7, 2018. Your currently approved records retention schedule is available on our website at <https://www.tsl.texas.gov/slrn/state/schedules.html>. Please ensure that all old copies of the schedule are superseded with this recertified copy.

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

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

During a certification period, changes may need to be made to your schedule. State regulations (13 TAC §6.4) also allow for the submission of amendments to the retention schedule as needed to keep the information in the schedule current. If you are not familiar with the amendment process, or if you have any other questions, please contact the Government Information Analyst assigned to your agency, Gina Cervantes at 512-463-6623 or [gcervantes@tsl.texas.gov](mailto:gcervantes@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,

Craig Kelso  
Director and State Records Administrator

cc: Agency head

Lorenzo de Zavala  
State Archives and  
Library Building

1201 Brazos Street  
Austin, Texas  
78701

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

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

*Commission Chairman*

Michael C. Waters

*Members*

David C. Garza  
F. Lynwood Givens  
Larry G. Holt  
Arthur T. Mann  
Darryl Tocker  
Martha Wong

*Director and Librarian*

Mark Smith

*Assistant State Librarian*

Gloria Meraz

**TSLAC**

Preserving yesterday  
Informing today  
Inspiring tomorrow

R01 533



# 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 533

Agency Name Executive Council of Physical Therapy and Occupational Therapy 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 [Signature]

Name (Print or type) Karissa Rodriguez

Date 8/28/2018

### Section 2. Approvals

(Submitting agencies do not write in this section)

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

Signature \_\_\_\_\_

Name (Print or type) Not Required at This Time

Date \_\_\_\_\_

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

Signature [Signature]

Name (Print or type) Gloria Mera

Date 11/7/18

Cert/Recert No. 5 Amendment No. --

---

---

## CAUTION

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

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





**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
Rev. 2017-07

Retention Codes (field 7)

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

Archival Codes (Field 10)

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

1. Agency Code: 533		2. Agency Name: Executive Council of Physical Therapy and Occupational Therapy									
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				
AC-01	4.1.001	ACCOUNTS PAYABLE INFORMATION		FE	3						
AC-02	4.1.005	INVENTORY & OTHER COST FILES	Production job, labor, quotes, pricing, specifications, etc.	FE	3						
AC-03	4.2.001	CASH DEPOSIT VOUCHERS	Cash deposit slips.	FE	3						
AC-04	4.2.002	CASH RECEIPTS	Includes receipts for fees (permits, licenses, renewals, etc.).	FE	3						
AC-05	4.2.003	DAILY CASH RECEIPTS LOG		FE	3						
AC-06	4.2.005	PURCHASE VOUCHERS	Requisitions, receiving reports, invoices or statements, change orders, best value determinations, etc.	FE	3						
AC-07	4.2.006	GENERAL JOURNAL VOUCHERS		FE	3						
AC-08	4.2.007	EXPENDITURE VOUCHERS	Travel, payroll, etc.	FE	3						
AC-09	4.3.003	EXPENDITURES JOURNAL (CASH DISBURSEMENTS)	Purchase Order Log	FE	3						
AC-10	4.4.001	GENERAL AND SUBSIDIARY LEDGERS		FE	3						



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
Rev. 2017-07

Retention Codes (field 7)

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

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

Archival Codes (Field 10)

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

1. Agency Code: 533			2. Agency Name: Executive Council of Physical Therapy and Occupational Therapy								
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				
AC-11	4.4.002	ACCOUNTS RECEIVABLE LEDGERS		FE	3						
AC-12	4.4.003	ACCOUNTS PAYABLE LEDGERS		FE	3						
AC-25	4.5.001	WORKSHEETS FOR PREPARING FISCAL REPORTS		FE	3						
AC-13	4.5.002	INTERNAL FISCAL MGMT. RPTS	Includes agency monthly budget reports.	FE	3						
AC-14	4.5.003	ANNUAL FINANCIAL REPORT	Required by the General Appropriations Act (100 Day Report).	AC	6			AC= September 1 of odd numbered calendar years.			
AC-15	4.5.005	EXTERNAL FISCAL REPORTS	Special purpose - i.e. federal financial reports, salary reports, etc. Including Historically Underutilized Business (HUB) reports.	FE	3						
AC-16	4.5.006	ANNUAL OPERATING BUDGET	Required by the General Appropriations Act.	FE	3						
AC-17	4.6.001	BALANCING RECORDS		FE	3						
AC-18	4.6.002	RECONCILIATIONS LOCKBOX DEPOSITS		FE	3						
AC-19	4.6.003	CASH COUNTS/ BATCH RECONCILIATIONS		FE	3						



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
Rev. 2017-07

Retention Codes (field 7)

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

Archival Codes (Field 10)

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

1. Agency Code: 533		2. Agency Name: Executive Council of Physical Therapy and Occupational Therapy									
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				
AC-20	4.7.001	ACCT POLICIES & PROCEDURES MANUAL		US	3						
AC-21	4.7.004	CAPITAL ASSETS - EQUIPMENT RECORD		LA	3						
AC-22	4.7.006	COMPTROLLER STATEMENTS & REPORTS		FE	3						
AC-23	4.7.007	ANNUAL DETAIL CHART OF ACCTS	One for all accounts in use for fiscal year.	FE	3					In Quarterly Budget Report	
AC-24	4.7.011	TEXAS FACILITIES COMMISSION (TFC) STATEMENTS	Charge or bill statements received by agency from TFC services provided.	FE	3						
AD-01	5.1.004	MAIL AND COMMUNICATIONS LISTINGS	Any mailing, addresses, telephone or fax number, or email address maintained by an agency or its employees or on entities or persons it serves.	US						Board addresses & phone list	



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
Rev. 2017-07

Retention Codes (field 7)

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

Archival Codes (Field 10)

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

1. Agency Code: 533			2. Agency Name: Executive Council of Physical Therapy and Occupational Therapy								
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				
AD-02	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= Sept 1 of odd numbered calendar years	A	<b>ARCHIVES NOTE:</b> The archival requirement is met by sending copies of the request to the Texas State Publications Depository Program (TSPDP), Texas State Library and Archives Commission (TSLAC). Only copies of supporting documentation submitted to the Legislative Budget Board (LBB) are archival.	
AD-03	1.1.006	COMPLAINT RECORDS	Complaints received by an agency from the public concerning the agency and records pertaining to the resolution of a complaint.	AC	2			AC=Final Disposition of the complaint		If a complaint becomes the subject of litigation, it must be included in and is subject to the minimum retention period of 1.1.048.	



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
Rev. 2017-07

Retention Codes (field 7)

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

Archival Codes (Field 10)

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

1. Agency Code: 533		2. Agency Name: Executive Council of Physical Therapy and Occupational Therapy									
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				
AD-04	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 regulation, policies, and procedures that govern them.		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 RSIN 1.1008 should only be used for correspondence that is not included in or directly related to another record 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 1.1004; a letter concerning an audit for that prescribed by item number 1.1.008, etc. SEE ALSO item number 1.1.011.</p>	





**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
Rev. 2017-07

Retention Codes (field 7)

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

Archival Codes (Field 10)

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

1. Agency Code: 533		2. Agency Name: Executive Council of Physical Therapy and Occupational Therapy									
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				
AD-05	1.1.008	GENERAL CORRESPONDENCE	Non-administrative incoming/outgoing and internal correspondence, in any media, pertaining to or arising from the routine operations of the policies, programs, services, or projects of an agency.		2					See comment to item number 1.1.007. See also item number 1.1.010	
AD-06	1.1.010	DIRECTIVES	Any document that officially initiates, rescinds, or amends general office procedures.	US	1						
AD-07	1.1.011	EXECUTIVE ORDERS	Any document that initiates, rescinds, or amends a regulations, policy, or procedure that governs the programs, services, or projects of an agency.	US	3				A		



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
Rev. 2017-07

Retention Codes (field 7)

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

Archival Codes (Field 10)

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

1. Agency Code: 533		2. Agency Name: Executive Council of Physical Therapy and Occupational Therapy									
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				
AD-08	1.1.013	CALENDARS, APPOINTMENT AND ITINERARY BOOKS	Calendars, appointment books or programs and scheduling, or itinerary records, purchased with state funds and maintained by staff during normal business hours that document appointments, itineraries, and other activities of agency officials or employees.	CE	1				R	<b>ARCHIVES NOTE:</b> Only records of elected official, executive staff, board, or commission members, division directors, and program head require archival review. Contact the State Archives when these records have met their retention period. <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 may be a state record and subject to this retention period. See Open Records Decision 635 issued in Dec. 1995 by the Attorney General.	
AD-09	1.1.014	LEGAL OPINIONS AND ADVICE	From agency legal counsel or the Attorney General, including any requests eliciting opinion.	AV					R	<b>CAUTION:</b> Does not include legal opinions or advice rendered on a matter in litigation or with regard to pending litigation. SEE item number 1.1.048.	



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
Rev. 2017-07

Retention Codes (field 7)

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

Archival Codes (Field 10)

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

1. Agency Code: 533			2. Agency Name: Executive Council of Physical Therapy and Occupational Therapy								
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				
AD-10	1.1.057	TRANSITORY INFORMATION	Records of temporary usefulness that are not an integral part of a record series of an agency, that are not regularly filed within an agency's record keeping 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 record 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 may be in any medium (voicemail, fax, email, hard copy, etc.) are routine messages; telephone 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 RSIN to records of an agency to make certain they are not part of another record 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 to be documented through destruction signoffs (1.2.001) or in records disposition logs (1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (1.2.014).	



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
Rev. 2017-07

Retention Codes (field 7)

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

Archival Codes (Field 10)

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

1. Agency Code: 533			2. Agency Name: Executive Council of Physical Therapy and Occupational Therapy								
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				
AD-11	1.1.058	MEETING AGENDA AND MINUTES	Official agenda and minutes of state boards, committees, commissions, and councils that conduct open meetings as required by Government Code, Chapter 551.	PM					A	<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 (AISD), TSLAC. <b>CAUTION:</b> This records series and items numbers 1.1.059, 1.1.060, 1.1.061, and 1.1.062 must be used. These records and all others related to the functions of the agency must be included in the agency's records retention schedule.	
AD-12	1.1.019	PRESS RELEASES	News, press releases, or any public relations files maintained or issued by the agency. Includes print, electronic, audio, and audiovisual records.		2				R		
AD-13	1.1.020	PUBLIC INFORMATION REQUESTS NOT EXEMPTED	Includes all correspondence and documentation relating to requests for records that are furnished to the public under the Public Information Act (Chapter 552, Government Code)	AC	1			AC=Date Request filled.			



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
 Rev. 2017-07

Retention Codes (field 7)

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

Archival Codes (Field 10)

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

1. Agency Code: 533			2. Agency Name: Executive Council of Physical Therapy and Occupational Therapy								
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				
AD-14	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 exempt.			
AD-15	1.1.023	ORGANIZATION CHARTS ORIGINAL		US					A		
AD-16	1.1.024	PLANS AND PLANNING RECORDS	Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC	3			AC=Decision made to implement or not to implement result of planning process.	R	<b>ARCHIVES NOTE:</b> Data processing planning records are not archival.	
AD-17	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 performance measures used to manage the agency.	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. 2017-07

Retention Codes (field 7)

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

Archival Codes (Field 10)

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

1. Agency Code: 533		2. Agency Name: Executive Council of Physical Therapy and Occupational Therapy									
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				
AD-18	1.1.070	AGENCY RULES, POLICIES, AND PROCEDURES-FINAL	Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by the agency that sets out the rules, policies, and procedures that govern the agency's programs, services, or projects.	AC	3			AC=Completion or Termination of Program, Rules, Policies or Procedures.	R	<b>SEE ALSO</b> Agency Rules, Policies and Procedures - Working Files 1.1.071.	
AD-19	1.1.071	AGENCY RULES, POLICIES, AND PROCEDURES-WORKING FILES	Working files used in the development of manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by the agency which sets out the rules, policies, and procedures that govern the agency's programs, services, or projects.	AC	3			AC=Completion or Termination of Program, Rules, Policies or Procedures.	R	<b>SEE ALSO</b> RSIN 1.1.070.	



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
 Rev. 2017-07

Retention Codes (field 7)

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

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

Archival Codes (Field 10)

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

1. Agency Code: 533		2. Agency Name: Executive Council of Physical Therapy and Occupational Therapy									
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				
AD-20	1.1.026	PROOFS OF PUBLICATIONS, TEXAS REGISTER	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 Texas Register.			
AD-21	1.1.027	PROPOSED LEGISLATION	Drafts of proposed legislation and related correspondence.	AV							
AD-22	1.3.002	PUBLICATION DEVELOPMENT FILES	Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV					R		



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
 Rev. 2017-07

Retention Codes (field 7)

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

Archival Codes (Field 10)

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

1. Agency Code: 533		2. Agency Name: Executive Council of Physical Therapy and Occupational Therapy									
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				
AD-23	1.3.001	STATE PUBLICATIONS	One copy of each state publication as defined on page xi of the Texas State Records Retention Schedule (RSS) that is subject to a different retention period in this schedule.	AC	2			AC = Until superseded or obsolete.		<b>CAUTION:</b> Many state publications must be submitted to the TSPDP, TSLAC, by law (Government Code 441.101-441.106). The TSLAC 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 TSPDP of the TSLAC (13 TAC §§3.1-3.16).	





**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
Rev. 2017-07

Retention Codes (field 7)

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

Archival Codes (Field 10)

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

1. Agency Code: 533			2. Agency Name: Executive Council of Physical Therapy and Occupational Therapy								
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				
AD-24	1.1.066	REPORTS-ANNUAL & BIENNIAL	Biennial narrative reports to the governor and legislature as required by an agency's enabling statutes, including annual narrative reports if they are required by statute.	AC	6			AC=September 1 of odd numbered calendar years.	A	Archival requirement is met by sending the required copies of the reports to the TSPDP of the TSLAC.	
AD-25	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 internally or to other entities.		3				R		
AD-26	1.1.069	REPORTS - ACTIVITY	Reports compiled by agency personnel on a daily basis pertaining to workload monitoring, task completion times, number of public contacts, and similar activities.		1					<b>CAUTION:</b> See item number 1.1.064.	
AD-27	1.1.038	CUSTOMER SURVEYS	Surveys returned by customers or clients of the agency, and the statistical data maintained rating the agency's performance.	AC				AC=Final disposition of summary report.		See item number 1.1.067 for summary reports compiled from customer surveys.	



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
Rev. 2017-07

Retention Codes (field 7)

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

Archival Codes (Field 10)

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

1. Agency Code: 533			2. Agency Name: Executive Council of Physical Therapy and Occupational Therapy								
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				
AD-28a	3.1.035	EMPLOYEE SURETY BONDS	Bonds posted by employees and individuals or entities under contract with an agency for the performance of the duties of a position or the terms of a contract with the agency. <b>Executed, renewed, or amended on or after September 1, 2015.</b>	AC	7			AC=Expiration of termination of the bond according to its terms.			
AD-28b	3.1.035	EMPLOYEE SURETY BONDS	Bonds posted by employees and individuals or entities under contract with an agency for the performance of the duties of a position or the terms of a contract with the agency. <b>Executed, renewed, or amended prior to August 31, 2015.</b>	AC	4			AC=Expiration of termination of the bond according to its terms.			
AD-29	1.1.043	AGENCY TRAINING MANUAL/ MATERIALS	Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US	1						
AD-30	3.3.023	REIMBURSABLE ACTIVITIES (TRAVEL REQUESTS)	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						



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
Rev. 2017-07

Retention Codes (field 7)

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

Archival Codes (Field 10)

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

1. Agency Code: 533			2. Agency Name: Executive Council of Physical Therapy and Occupational Therapy								
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				
AD-31	1.1.002	AUDITS-INTERNAL / EXTERNAL	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 record copy of an audit is retained permanently by the State Auditor's Office (SAO).	
AD-32	1.1.068	REPORTS ON PERFORMANCE MEASURES	Quarterly and annual reports on agency performance measures submitted to executive and legislative offices.	AC	6			AC=September 1 of odd numbered years.			
AD-33	1.1.060	MEETINGS, AUDIO OR VIDEOTAPES OF OPEN	Audio or videotapes of open meetings of state boards, commissions, committees, and councils.	AC			90	AC=Official Approval of Meeting Minutes On Audio Tapes		<b>CAUTION:</b> Minutes of state agencies are permanent records. Audio and videotape are not permanent media. State agencies may not retain audio or videotapes of the meetings of governing bodies in lieu of written minutes. SEE caution comment at item number 1.1.058.	
AD-34	1.1.055	STRATEGIC PLANS	Information resources and operational strategic plans prepared in accordance with 2054.095 and 2056.002 Government Code.	AC	6			AC=September 1 of odd numbered years.	A	Copy to the TSPDP, TSLAC.	



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
Rev. 2017-07

Retention Codes (field 7)

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

Archival Codes (Field 10)

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

1. Agency Code: 533			2. Agency Name: Executive Council of Physical Therapy and Occupational Therapy								
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				
AD-35	1.1.056	AMERICANS WITH DISABILITIES ACT (ADA) DOCUMENTATION (STAFF)	Self evaluations and plans documenting compliance with the requirements of the ADA.		3						28 CFR 35.105 (c)
AD-36	1.1.048	LITIGATION FILES	Records created by or on behalf of the 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 or 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 court of appeals if applicable) in a lawsuit.	R	<b>ARCHIVES NOTE:</b> Cases that set legal precedent of exhibit historical value will be evaluated by the AISD of the TSLAC for archival preservation.	
AD-37	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 formal minutes by the governing body.		See Caution comment at item number 1.1.058.	



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
 Rev. 2017-07

Retention Codes (field 7)

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

Archival Codes (Field 10)

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

1. Agency Code: 533		2. Agency Name: Executive Council of Physical Therapy and Occupational Therapy									
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				
AD-38	1.1.062	MEETINGS - SUPPORTING DOCUMENTATION	Documents submitted at meeting 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.	
AD-39	1.1.074	SUNSET REVIEW REPORT AND DOCUMENTATION		AC	3			AC=After the subsequent Sunset Review.	R		
DP-01	2.2.011	BATCH DATA ENTRY CONTROL RECORDS	Forms and logs used to reconcile batches submitted for processing against batches received and processed.	AC				AC=When reconciliation confirmed.			
DP-02	2.2.012	OUTPUT RECORDS FOR COMPUTER PRODUCTION	Reports showing transactions that were accepted, rejected, suspended, and/or processed.	AV							



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
 Rev. 2017-07

Retention Codes (field 7)

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

Archival Codes (Field 10)

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

1. Agency Code: 533		2. Agency Name: Executive Council of Physical Therapy and Occupational Therapy									
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				
DP-03	2.1.008	HARDWARE DOCUMENTATION	Records documenting operational and maintenance requirements of computer hardware such as operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems.	AC				AC=Until electronic records are transferred to and made usable in a new hardware environment or there are not electronic records being retained to meet an approved retention period that require the hardware to be retrieved and read.			13 TAC 6.94.
DP-04	2.1.007	SOFTWARE PROGRAMS	Automated software applications and operating system files including job control language, program listing/source code, etc.	AC				AC=Until electronic records are transferred to and made usable in a new hardware environment or there are not electronic records being retained to meet an approved retention period that require the hardware to be retrieved and read.			13 TAC 6.94.
HR-01	3.1	ACTIVE PERSONNEL FILES		AC	5			AC=Until Termination of Employment.			



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
Rev. 2017-07

Retention Codes (field 7)

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

Archival Codes (Field 10)

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

1. Agency Code: 533			2. Agency Name: Executive Council of Physical Therapy and Occupational Therapy								
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				
HR-02	3.1.001	APPLICATIONS FOR EMPLOYMENT - NOT HIRED	Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.		2						29 CFR 1602.31
HR-03	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.			
HR-04	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.			



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
Rev. 2017-07

Retention Codes (field 7)

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

Archival Codes (Field 10)

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

1. Agency Code: 533			2. Agency Name: Executive Council of Physical Therapy and Occupational Therapy								
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				
HR-05	3.1.011	EMPLOYEE INSURANCE RECORDS	Agency copies of information relating to the selection by employees of life, disability, health, and other types of insurance offered by the State of Texas to its employees.	AC				AC= Until superseded or termination of employment.		<b>CAUTION:</b> Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item number 3.2.001.	
HR-06	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
HR-07a	3.1.013	EMPLOYMENT CONTRACTS	Executed, renewed, or amended on or after September 1, 2015.	AC	7			AC= Until superseded or termination of employment.			Government Code, 441.1855
HR-07b	3.1.013	EMPLOYMENT CONTRACTS	Executed, renewed, or amended on or before August 31, 2015.	AC	4			AC= Until superseded or termination of employment.			Government Code, 441.1855





**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
 Rev. 2017-07

Retention Codes (field 7)

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

Archival Codes (Field 10)

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

1. Agency Code: 533		2. Agency Name: Executive Council of Physical Therapy and Occupational Therapy									
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				
HR-08	3.1.014	EMPLOYMENT SELECTION RECORD	Includes notes of interviews with candidates, questions asked of applicants, audio and videotapes of job interviews, driving record and previous injury checks, pre-employment physical examinations, pre-employment drug screening test results, polygraph examination results; and all other records that document the selection process.		2					<b>CAUTION:</b> Does not include Criminal History Checks. See item number 3.1.026.	29 CFR 1602.31
HR-09	3.1.018	GRIEVANCE RECORDS	Records relating to the review of employee grievances against personnel policies, working conditions, etc.	AC	2			AC= Final decision of grievance.		<b>CAUTION:</b> Does not include formal complaints filed by an agency employee with the Equal Employment Opportunity (EEO) Act of the US Department of Labor (DOL). See item number 1.1.048.	
HR-10	3.1.019	PERFORMANCE APPRAISALS			2						29 CFR 1620.32(c)



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
 Rev. 2017-07

Retention Codes (field 7)

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

Archival Codes (Field 10)

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

1. Agency Code: 533		2. Agency Name: Executive Council of Physical Therapy and Occupational Therapy									
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				
HR-11	3.1.021	PERSONNEL DISCIPLINARY ACTION DOCUMENTATION	Disciplinary actions are those 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.			



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
 Rev. 2017-07

Retention Codes (field 7)

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

Archival Codes (Field 10)

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

1. Agency Code: 533		2. Agency Name: Executive Council of Physical Therapy and Occupational Therapy									
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				
HR-12	3.1.022	PERSONNEL 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
HR-13	3.1.023	POSITION/ JOB DESCRIPTIONS	Job descriptions, including all associated task or skill statements, for positions in the agency.	AC	4			AC= Until Superseded or job eliminated.			40 TAC 815.106(I)
HR-14	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.			



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
Rev. 2017-07

Retention Codes (field 7)

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

Archival Codes (Field 10)

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

1. Agency Code: 533		2. Agency Name: Executive Council of Physical Therapy and Occupational Therapy									
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				
HR-15	3.1.029	EMPLOYMENT ELIGIBILITY, DOCUMENTATION OR VERIFICATION OF (INS 1-9)	Federal reporting form (INS 1-9).	AC	1			AC=Termination of employment.		<b>CAUTION:</b> Federal regulation requires that INS 1-9 forms be retained 3 yrs. from date of hire or 1 yr. from date of separation, whichever is later. Agencies should make certain that the INS 1-9 forms for employees who terminate from an agency less than 3 years from date of hire are kept for the 3 year retention period.	
HR-16	3.1.031	EMPLOYEE BENEFITS- OTHER THAN INSURANCE	Agency copies of information relating to the selection of available benefits other than insurance.	AC	2			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 item number 3.2.001.	
HR-17	3.2.001	EMPLOYEE DEDUCTION AUTHORIZATIONS	Documentation used to start, modify, or stop all 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.			



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
Rev. 2017-07

Retention Codes (field 7)

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

Archival Codes (Field 10)

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

1. Agency Code: 533			2. Agency Name: Executive Council of Physical Therapy and Occupational Therapy								
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				
HR-18	3.2.005	W-4 FORMS	Employer's copy of "Employees' Withholding Exemption Certificate."	AC	4			AC=Until Superseded, obsolete, or upon separation of employee.			26 CFR 31.6001-1(e) (2)
HR-19	3.2.008	DIRECT DEPOSIT APPLICATION / AUTHORIZATIONS		US							
HR-20	3.2.009	STATE DEFERRED COMPENSATION RECORDS		AC	5			AC=All accounts with a vendor or vendors for individual participant have been closed.		For instructions regarding the determination of the closure of accounts and for additional information regarding the retention period see the most current edition of the Benefits Coordinator Reference Manual issued by Employees Retirement System.	
HR-21	3.2.010	HUMAN RESOURCES INFORMATION SYSTEMS (HRIS) REPORTS	Includes supporting documentation.	AC	4						
HR-22	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, 1602.50



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
 Rev. 2017-07

Retention Codes (field 7)

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

Archival Codes (Field 10)

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

1. Agency Code: 533			2. Agency Name: Executive Council of Physical Therapy and Occupational Therapy								
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				
HR-23	5.4.001	ACCIDENT REPORTS AND ASSOCIATED DOCUMENTATION	Accident or occupational disease reports (by supervisors and employees) and other associated reports required to be submitted to the Texas Department of Insurance (TDI) or its predecessors or maintained internally on accident frequency.	CE	5					TDI retains copies of the reports submitted to it for 50 years.	29 CFR 1904.33.
HR-24	3.2.002	EMPLOYEE EARNING RECORDS			4						40 TAC 815.106(l)
HR-25	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.		Also included are 1099, W2, and other tax forms	26 CFR 31.6001-1(e)(2).
HR-26	3.2.006	WAGE RATE TABLES			2						29 CFR 516.6(a)(2)
HR-27	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)
HR-28	3.3.010	LABOR STATISTICS REPORT	Reports providing statistical information on labor force.		3						



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
 Rev. 2017-07

Retention Codes (field 7)

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

Archival Codes (Field 10)

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

1. Agency Code: 533			2. Agency Name: Executive Council of Physical Therapy and Occupational Therapy								
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				
HR-29	3.3.011	FORMER EMPLOYEE VERIFICATION RECORDS	Minimum information needed to verify employment, includes name, social security number, exact dates of employment, last known address and most recent public access option form.	AC	75			AC=Termination of employment.		See Item number 3.1.038	
HR-31	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 the agency.	US	3						
HR-32	3.3.026	POSITION STAFFING REPORT	Any reports compiled by an agency on aspects of personnel staffing, including listings of all staff by program or name, staff hired during a month, detailed listings of employees within its organizational structure, position vacancies, analyses of turnover rates and seasonality of employment, etc.	US	3						
HR-33	3.3.015	POSITIONS/JOB CLASSIFICATION REVIEW FILE	Records relating to review and monitoring of job classifications within an agency.	US	3						



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
 Rev. 2017-07

Retention Codes (field 7)

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

Archival Codes (Field 10)

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

1. Agency Code: 533		2. Agency Name: Executive Council of Physical Therapy and Occupational Therapy									
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				
HR-34	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 on August 31, to correct errors on leave accumulation, and to close out leave accounts on separated employees.	FE	3						
HR-35	3.4.002	LEAVE STATUS REPORT	Cumulative report is issued each pay cycle and provides employee leave status information for each position.	FE	3						
HR-36	3.4.004	OVERTIME AUTHORIZATIONS			2						
HR-37	3.4.006	TIME CARDS AND TIME SHEETS			4						40 TAC 815.106(I)
HR-38	3.4.007	TIME OFF AND/OR SICK LEAVE REQUESTS		FE	3						
HR-40	3.2	PAYROLL FILES		AC	5			AC=After Termination of Employee.			
LI-01	1.1	LICENSEE FILES Expired	Expired PT, PTA, OT, OTA, licensee files.	AC	10			AC= License is expired more than 1 year.			
LI-02	1.1	FACILITY FILES Closed/Expired	Expired PT and OT closed/expired facility registration files.	AC	10			AC=Facility License closed or expired more than one year.			
LI-04	1.1	LOG LICENSES ISSUED				1					





**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
Rev. 2017-07

Retention Codes (field 7)

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

Archival Codes (Field 10)

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

1. Agency Code: 533			2. Agency Name: Executive Council of Physical Therapy and Occupational Therapy								
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				
LI-05	1.1	LOG TEMPORARY LICENSES ISSUED				1					
LI-06	1.1	LOG DUPLICATE LICENSES ISSUED	Log of all licensees that have had duplicate licenses issued due to name change, lost their license, or license was destroyed.			1					
LI-07	1.1	LOG RENEWAL LICENSES ISSUED				1					
LI-09	1.1	RENEWAL & ADDRESS CHANGES DATA ENTRY DOCUMENTS		FE	1						
LI-10	1.1	CLOSED INVESTIGATION FILES- NO ACTION TAKEN		FE	3						
LI-11	1.1	CLOSED INVESTIGATION FILES DISCIPLINARY ACTION TAKEN		FE	3						
LI-12	1.1	VERIFICATION OF LICENSES TO ANOTHER STATE		AC	1		AC=Date the request to verify license is closed.		Verification requests are closed when the request is sent (successful) or the request is expired (failed).		



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
Rev. 2017-07

Retention Codes (field 7)

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

Archival Codes (Field 10)

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

1. Agency Code: 533			2. Agency Name: Executive Council of Physical Therapy and Occupational Therapy								
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				
LI-13	1.1	ADA DOCUMENTATION (LICENSEE)			3						
LI-14	1.1	LICENSEE AUDITS OF CONTINUING EDUCATION UNITS		FE	3						
LI-15	1.1	LICENSE APPLICATIONS - NO LICENSE ISSUED		AC	2			AC= When application is closed, terminated, completed, expired or settled.			
LI-16	1.1	CRIMINAL HISTORY CHECKS OF LICENSING APPLICANTS	Fingerprinting documents used to check criminal history of initial and renewal licensing applicants.	AV							
RM-01	1.2.001	DESTRUCTION AUTHORIZATIONS	Agency level documents authorizing final disposition of records under certified records retention schedule.	FE	3						
RM-02	5.4.013	DISASTER RECOVERY PLAN		US							
RM-03	1.2.003	FORMS HISTORY PLAN	Print masters of original version and all subsequent revisions to an agency form, including any associated design or design modification requests.	AC	1			AC=Discontinuance of use of form.			



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
 Rev. 2017-07

Retention Codes (field 7)

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

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

Archival Codes (Field 10)

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

1. Agency Code: 533			2. Agency Name: Executive Council of Physical Therapy and Occupational Therapy								
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				
RM-04	1.2.005	RECORDS RETENTION SCHEDULE (SLR 105)	Agency copy. Formerly RMD 105. Includes documentation of certification and approval - forms 105C (formerly RMD 105C), and /or other forms designated by the State Records Administrator.	US						Original is retained by SLRM Division of the TSLAC.	
RM-05	1.2.008	REQUEST FOR AUTHORITY TO DISPOSE OF STATE RECORDS (RMD 102)	Agency copy.	FE	3					Original is retained by SLRM Division of the TSLAC.	
RM-06	1.2.010	RECORDS DISPOSITION LOG	Logs or similar records listing records destroyed or transferred to the AISD, TSLAC, showing record series title, dates of records, and date destroyed or transferred.		10						
RM-07	1.2.006	RECORDS TRANSMITTAL FORMS	Agency copy (includes RMD 101, Tx-R5, 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 AISD, TSLAC, by the agency records management officer.			



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
 Rev. 2017-07

Retention Codes (field 7)

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

Archival Codes (Field 10)

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

1. Agency Code: 533			2. Agency Name: Executive Council of Physical Therapy and Occupational Therapy								
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				
RM-08	1.2.011	RECORD CENTER STORAGE APPROVAL FORMS (RMD 106)	Agency copy.	US							
SS-01a	5.1.001	CONTRACTS AND LEASES	Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, 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. <b>Executed, renewed, or amended on or after September 1, 2015.</b>	AC	7			AC=Expiration of termination of the instrument according to its terms.		See related item numbers 3.1.035 Performance Bonds and 5.3.007 Bid Documentation. See item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs.	Government Code, 441.1855



STATE OF TEXAS  
Records Retention Schedule

SLR 105  
Rev. 2017-07

Retention Codes (field 7)

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

Archival Codes (Field 10)

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

1. Agency Code: 533			2. Agency Name: Executive Council of Physical Therapy and Occupational Therapy								
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				
SS-01b	5.1.001	CONTRACTS AND LEASES	Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, 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. <b>Executed, renewed, or amended on or before August 31, 2015.</b>	AC	4			AC=Expiration of termination of the instrument according to its terms.		See related item numbers 3.1.035 Performance Bonds and 5.3.007 Bid Documentation. See item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs.	Government Code, 441.1855
SS-02	5.1.005	POSTAGE RECORDS	Records and reports of postage expenses, including postal meter usage.	FE	3						
SS-03	5.2.006	PROPERTY DESTRUCTION, CERTIFICATES OF		FE	3						



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
Rev. 2017-07

Retention Codes (field 7)

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

Archival Codes (Field 10)

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

1. Agency Code: 533			2. Agency Name: Executive Council of Physical Therapy and Occupational Therapy								
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				
SS-04	5.2.008	EQUIPMENT HISTORY FILE	Includes requests for installation, moves, service, etc.; and service/repair logbooks, etc.	LA	3					For service agreements or contracts related to equipment repairs and service, retain in accordance with item number 5.1.001.	
SS-05	5.2.010	EQUIPMENT MANUALS		LA							
SS-06	5.2.011	EQUIPMENT WARRANTIES		AC	1			AC=Expiration of Warranty.			
SS-07	5.2.014	INVENTORY ANNUAL PHYSICAL REPORT	Property, equipment, supply verification.	FE	3						
SS-08	5.2.021	SURPLUS PROPERTY SALE REPORTS		FE	3						
SS-09a	5.3.007	BID DOCUMENTATION	Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, successful and unsuccessful bids, and bid tabulation/evaluations. <b>Associated with a contract executed, renewed, or amended on or after September 1, 2015.</b>	AC	7			AC=Expiration or termination of the instrument according to its terms or decision not to proceed with the bid.			



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
Rev. 2017-07

Retention Codes (field 7)

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

Archival Codes (Field 10)

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

1. Agency Code: 533		2. Agency Name: Executive Council of Physical Therapy and Occupational Therapy									
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				
SS-09b	5.3.007	BID DOCUMENTATION	Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, successful and unsuccessful bids, and bid tabulation/evaluations. <b>Associated with a contract executed, renewed, or amended on or before August 31, 2015.</b>	FE	3						
SS-09c	5.3.007	BID DOCUMENTATION	Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, successful and unsuccessful bids, and bid tabulation/evaluations. <b>Unsuccessful 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.).</b>	AC	2			AC=Date of notification of denial or date of withdrawal, as applicable.			



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
 Rev. 2017-07

Retention Codes (field 7)

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

Archival Codes (Field 10)

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

1. Agency Code: 533			2. Agency Name: Executive Council of Physical Therapy and Occupational Therapy								
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				
SS-10	5.4.002	EVACUATION PLANS	Plans for evacuation of agency facilities and equipment.	US							
SS-11	5.4.011	VISITOR CONTROL REGISTERS	Logs, registers, or similar records documenting visitors to limited access or restricted areas of agency facilities.		3						
SS.12	5.5.001	BILLING DETAIL-TELECOM. (NOT TEX-AN)	In addition to summary detail, includes any accompanying detailed listing of long distance calls.	FE	3					See item number 5.5.006 for TEX-AN billing detail.	
SS-13	5.5.006	BILLING DETAIL-TELECOM. (TEX-AN)	In addition to summary detail, includes any accompanying detailed listing of long distance calls.	FE	3					The billing agency will maintain all long distance TEX-AN records and will provide each using agency its bill summary of centralized capitol complex telephone service without call detail records. For these bill summaries see item number 4.7.011. See item number 5.5.001 for billing detail from carriers other than TEX-AN.	





**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
 Rev. 2017-07

Retention Codes (field 7)

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

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

Archival Codes (Field 10)

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

1. Agency Code: 533		2. Agency Name: Executive Council of Physical Therapy and Occupational Therapy									
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				
SS-14	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 or by private couriers.		1						