



February 6, 2019

Mr. Michael Clark
Chief Facilities Officer
Texas Department of Agriculture
1700 N. Congress Ave., #1030
Austin, TX 78711

Re: Agency records retention schedule approved for use.

Dear Mr. Clark,

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 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

Your agency's records retention schedule is approved for use as of February 4, 2019. 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 Please ensure that all old copies of the schedule are superseded with this recertified copy.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 February, 2024.

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, Erica Wilson-Lang, at 512-463-6627 or ewilson@tsl.texas.gov.

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

Sincerely,

A handwritten signature in black ink, appearing to read "C. Kelso".

Craig Kelso
Director and State Records Administrator

cc: Agency head

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 551
Texas Department of Agriculture

(Check one)

- Initial Certification - Form SLR 105
X 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
X Records Management Officer

Signature Michael W Clark
Name (Print or type) MICHAEL W CLARK
Date 8/8/18

Section 2. Approvals

(Submitting agencies do not write in this section)

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

Signature
Name (Print or type)
Date

Not Required at This Time

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

Signature Gloria Meraz
Name (Print or type) Gloria Meraz
Date 8/4/19

Cert/Recert No. 10 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
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 LA – Life of Asset
 PM – Permanent
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 R/O – Review by State/University Archivist

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					Years	Months	Days				
T1100		COMMODITY BOARD FILES		US	1					US = Budgets submitted by Commodity Boards to be approved by TDA Deputy Commissioner will be disposed one year after revised budget has been submitted and approved.	
T1101		STATE BOARD & COMMITTEE MEMBER FILES	Files may include but are not limited to biographical data, expenditures, attendance records and voting records.	AC	3			AC = After last term served on the board.	R		
T1102	1.1.002	AUDITS	Audits and reviews performed by or on behalf of TDA, including the working papers that support the audit. Also includes audits performed on the agency.	AC	7			AC = Publication or release of final audit findings.		The State Auditor's Office retains any copies of its audits performed on Texas state agencies.	
T1103		AUDITS-WORKING PAPERS		AC	7			AC = Publication or release of final audit findings.		CONFIDENTIAL	
T1104	1.1.004	LEGISLATIVE APPROPRIATION REQUESTS	Including any supporting documentation created and/or used to justify and support legislative appropriations requests by TDA.	AC	6			AC = September 1 of odd-numbered calendar years.	A	ARCHIVES NOTE: The archival requirement is met by sending the required copies of the requests to the Texas State Publications Depository Program, Texas State Library and Archives Commission. Only copies of supporting documentation submitted to the Legislative Budget Board are archival.	



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T1106	1.1.006	COMPLAINT RECORDS	Complaints received by TDA from the public concerning the agency and the records pertaining to the resolution of the complaint.	AC	2			AC = Final disposition of the complaint.		CAUTION: If a complaint becomes the subject of litigation, it must be included in and is subject to the minimum retention period of item number 1.1.048, as applicable.	
T1106A		COMPLAINT RECORDS THAT PROMPT INVESTIGATIONS	Complaints received by TDA from the public concerning TDA programs and participants. Records include the complaint and the resolution.	AC	3			AC = Final disposition of complaint.		CAUTION: If a complaint becomes the subject of litigation, it must be included in and is subject to the minimum retention period of item number 1.1.048 or 1.1.073, as applicable.	



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T1107	1.1.007	CORRESPONDENCE - Administrative	Incoming/outgoing and internal correspondence, whether paper or electronic, pertaining to the formulation, planning, implementation, interpretation, modification, or redefinition of the programs, services, or projects of TDA and the administrative regulations, policies, and procedures that govern them.		4				R	ARCHIVES NOTE: Only the administrative correspondence of executive staff, board or commission members, division directors and program heads require archival review. Contact the State Archives when these records have met their retention periods. CAUTION: This records series and item number 1.1.008 should be used only for correspondence that is not included in or directly related to another records series on the agency's approved schedule. For example, a memorandum that documents an appropriations request must be retained for the minimum retention period prescribed by item number 1.1.004; a letter concerning an audit for that prescribed by item number 1.1.002, etc. SEE ALSO item number 1.1.011. VITAL	



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T1108	1.1.008	CORRESPONDENCE - General	Non-administrative incoming/outgoing and internal correspondence, in any media, pertaining to or arising from the routine operations of the policies, programs, services, or projects of TDA.		2					SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010. NOTE: An e-mail that is not filed with a record series based on its subject matter will usually belong to either this item number 1.1.008 or item number 1.1.057 (Transitory Information). For e-mails received from outside the agency, it is the recipient's responsibility to retain the email accordingly. For all other e-mails, it is the sender's responsibility.	
T1109		FAMILY LAND HERITAGE RECORDS	Records include the application and supporting documentation on ownership and production of the land.	PM						Family Land Heritage Records are permanent.	
T1110	1.1.010	DIRECTIVES	Any document that officially initiates, rescinds, or amends general office procedures.	US	1						
T1111	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 TDA.	US	3				A	VITAL	



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T1113	1.1.013	CALENDARS, APPOINTMENT and ITINERARY RECORDS	Calendars, appointment books or 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 TDA officials or employees.	CE	1				R	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the State Archives when these records have met their retention periods. TDA NOTE: Other TDA Microsoft OUTLOOK calendars are auto-deleted at 731 days. 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.	
T1114	1.1.014	LEGAL OPINIONS and ADVICE	From TDA 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. SEE item numbers 1.1.048 or 1.1.073. CONFIDENTIAL	



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T1119	1.1.019	PUBLIC RELATIONS RECORDS	News, press releases, or any public relations files maintained or issued by TDA. Includes print, electronic, audio, and audiovisual records.		2				R		
T1120	1.1.020	PUBLIC INFORMATION REQUESTS - Not Exempted	Includes all correspondence and documentation relating to requests for records that are furnished to the public under Public Information Act.	AC	1			AC = Date request fulfilled.			Chapter 552, Government Code
T1121	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.	AC	2			AC = Date of notification that records are exempt.		CONFIDENTIAL	Chapter 552, Government Code
T1123	1.1.023	ORGANIZATION CHARTS		US					A		
T1124	1.1.024	PLANS and PLANNING RECORDS	Plans and records relating to the process of planning new or redefined programs, services, or projects of TDA that are not included in or directly related to other records series in this schedule.	AC	3			AC = Decision made to implement or not to implement result of planning process.	R	ARCHIVES NOTE: Data processing planning records are not archival.	
T1125		EVENT / PROJECT FILES	Records related to a project that involves planning and implementing a TDA event, promotion, activity, task, proposal or technical assistance to both internal and external customers. Records include but not limited to research material, project plans, schedules, work papers, meeting notes, expenditures, budget, space or booth allocation, and project results.	AC	4			AC = Completed or end of project, event or promotion.			



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T1126	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.			
T1127	1.1.027	PROPOSED LEGISLATION	Drafts of proposed legislation and related correspondence.	AV							
T1138	1.1.038	CUSTOMER SURVEYS	Surveys returned by the customers or clients of TDA, and the statistical data maintained rating the agency's performance.	AC	3			AC = Close date of survey or final disposition of summary report if report is prepared.		SEE item number 1.1.067 for summary reports compiled from customer surveys.	
T1140	1.1.040	SPEECHES, PAPERS and PRESENTATIONS	Notes or text of speeches, papers, presentations, or reports delivered in conjunction with TDA work.	AC				AC = End of term in office or termination of service in a state position.	R		
T1141	1.1.041	SUGGESTION SYSTEM RECORDS	Suggestions submitted by TDA personnel and responses.		1						
T1143	1.1.043	TRAINING MATERIALS	Instructional materials developed by TDA for training entities or individuals it regulates or serves. Files may include, but are not limited to, training or conference registrations, rosters and evaluation forms.	US	1						
T1143A		TRAINING MATERIALS-Food & Nutrition	Instructional materials developed by TDA Food & Nutrition Division and/or United States Department of Agriculture (USDA) including but not limited to training or conference registration, rosters, evaluation forms, manuals and workbooks.	AC	3			AC = Date of submission of the final financial status report for the fiscal year the training occurred.			



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T1148	1.1.048	LITIGATION FILES	Records created by or on behalf of TDA in anticipation of or in the adjudication of a lawsuit.	AC	1			AC = As applicable, decision of an agency not to file a lawsuit or decision that a lawsuit will not be filed against it on a matter; dismissal of a lawsuit for want of prosecution or on motion of the plaintiff; or final decision of a court (or of a court on appeal, if applicable) in a lawsuit.	R	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. CONFIDENTIAL; VITAL	
T1148A		3rd PARTY LEGAL NOTICES	Notices of deposition or subpoenas for production of evidence produced for litigation in which TDA is not a party, includes but not limited to testimony or production of documents in response to subpoenas; notices of bankruptcy; notices of levy.	AV						NOTE: For subpoenas received for litigation that TDA is a party to see 1.1.048.	
T1153	1.1.053	REGISTRATION LOGS	Logs or similar records used to register persons appearing before TDA as required by Chapter 2004, Government Code, including quarterly reports filed with the Texas Ethics Commission.	AC				AC = Report filed with the Texas Ethics Commission.			



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					Years	Months	Days				
T1155	1.1.055	STRATEGIC PLANS	Information resources and operational strategic plans prepared in accordance with 2054.095 and 2056.002, Government Code.	AC	6			AC = September 1 of odd-numbered calendar years.	A	ARCHIVES NOTE: The archival requirement is met by sending the required copies of the plans to the Texas State Publications Depository Program, Texas State Library and Archives Commission.	
T1156	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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T1157	1.1.057	TRANSITORY INFORMATION	Records of temporary usefulness that are not an integral part of a records series of TDA, that are not regularly filed within the 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 TDA or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of TDA functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; 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 TDA transaction.	AC				AC = Purpose of record has been fulfilled.		CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction authorizations (1.2.001) 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).	
T1157A		USDA HEALTH CERTIFICATES	Certificates issued by a USDA Veterinarian that must accompany all animals exported or imported through the state of Texas.	FE	3					Retention set by agency practice	TX AG Code 161.081



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T1158	1.1.058	MEETING AGENDA and MINUTES	Official agenda and minutes of state boards, committees, commissions, and councils that conduct open meetings as required by Government Code, Chapter 551.	PM					A	ARCHIVES NOTE: TDA retains permanent record copy. The archival requirement will be met by sending a copy to the Archives and Information Services Division, Texas State Library and Archives Commission. CAUTION: This records series and item numbers 1.1.059, 1.1.060, 1.1.061, and 1.1.062 must be used for those state boards, committees, commissions, and councils, which by law or the biennial Appropriations Act, are administered by another state agency. These records and all others related to the functions of any of these dependent entities must be included in the records retention schedule of the administering agency.	
T1159	1.1.059	MEETINGS - Certified Agendas or Tape Recordings of Closed	Certified agendas or tape recordings of closed meetings of state boards, commissions, committees, and councils.	AC	2			AC = The date of the meeting or completion of pending action involving the meeting, whichever is later.		SEE caution comment at item number 1.1.058. CONFIDENTIAL	Government Code, 551.104(a).



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T1160	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 written minutes of the meeting by the governing body of an agency.		CAUTION: Minutes of state agencies are permanent records. Audio and videotapes are not permanent media. State agencies may not retain audio or videotapes of the meetings of governing bodies in lieu of written minutes. The proceedings of all meetings of state boards, committees, commissions, and councils must be reduced to writing. SEE caution comment at item number 1.1.058.	
T1161	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.	
T1162	1.1.062	MEETINGS - Supporting Documentation	Documents submitted at meetings of state boards, commissions, committees, and councils including exhibit items, documentation for agenda items, etc. Includes documents sent in advance of meetings for briefing purposes, some of which may not be submitted at an actual meeting.		2				A	SEE caution comment at item number 1.1.058.	
T1163	1.1.063	STAFF MEETING - Minutes and Notes	Minutes or notes, and supporting documentation, taken at internal TDA staff meetings.		1						



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T1164	1.1.064	AGENCY PERFORMANCE MEASURES DOCUMENTATION	Any records of TDA needed for the documentation of output, outcome, efficiency, and explanatory measures in TDA appropriations request or strategic plan, and for performance measures used to manage TDA.	FE	3					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. VITAL	
T1165	1.1.065	REPORTS and STUDIES (Non-Fiscal) - Raw Data	Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV						CAUTION: Does not include source documentation used for information or data included in or directly related to another records series in this schedule. SEE especially item number 1.1.064.	
T1166	1.1.066	REPORTS - Biennial or Annual Agency (Narrative)	Biennial narrative reports to the governor and legislature as required by TDA enabling statutes, including annual narrative reports if they are required by statute.	AC	6			AC = September 1 of odd-numbered calendar years.	A	ARCHIVES NOTE: The archival requirement is met by sending the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission.	
T1167	1.1.067	REPORTS and STUDIES (Non-Fiscal)	Annual, sub-annual, or special reports or studies on non-fiscal aspects of TDA programs, services, or projects compiled by TDA personnel, by advisory committees, or by consultants under contract with TDA that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.		3				R		



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T1168	1.1.068	REPORTS on Performance Measures	Quarterly and annual reports on TDA performance measures submitted to executive and legislative offices.	AC	6			AC = September 1 of odd-numbered calendar years.			
T1169	1.1.069	REPORTS - Activity	Reports compiled by TDA personnel on a daily or other periodic basis pertaining to workload monitoring, task completion times, number of public contacts (community outreach/assistance) and similar activities.		1					CAUTION: SEE item number 1.1.064.	
T1170	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 TDA that set out the rules, policies, and procedures that govern TDA programs, services, or projects.	AC	3			AC = Completion or termination of program, rules, policies, or procedures.	R	NOTE: TDA will preserve the original and send a copy to the State Archives. SEE ALSO Item number 1.1.071. VITAL	
T1171	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 TDA that set out the rules, policies, and procedures that govern TDA programs, services, or projects.	AC	3			AC = Completion or termination of program, rules, policies, or procedures.	R	SEE ALSO Records Series Item Number 1.1.070. CONFIDENTIAL VITAL	
T1172	1.1.072	PUBLIC INFORMATION REPORTS	Reports made to Office of the Attorney General on an agency's Public Information Act activities.		2						



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T1173	1.1.073	ADMINISTRATIVE HEARINGS	Transcripts and final decisions of hearings conducted as part of the regulatory process, and hearings on proposed rules and changes. The records may be maintained with related information including meeting notices, proofs of publication, and meeting minutes.	AC	3			AC = Last action, case closed.	R	CONFIDENTIAL VITAL	
T1173A		ADMINISTRATIVE HEARING - FINAL ORDERS		PM				AC = Last action, case closed.	R	Final Orders are permanent.	
T1174	1.1.074	SUNSET REVIEW REPORT and DOCUMENTATION		AC	3			AC = After the subsequent Sunset Review.	R		
T1175	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 TDA 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.
T1176		GO TEXAN-MEMBERSHIP FILES	Includes but not limited to original application and licensing agreement. Members, Restaurants and Rural Communities.	AC	3			AC = No longer participating in program / membership lapse.			
T1177		CERTIFIED RETIREMENT COMMUNITY FILES	Includes but not limited to original application, supporting documentation and licensing agreement.	AC	5			AC = Expiration of agreement.			



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T1178		PARTICIPANT RECORDS	Includes but not limited to Customer Registration information to participate or join in a TDA program or to provide a service to a TDA customer; e.g. Hay Hotline and Farm Fresh Network.	AC				AC = Registration no longer valid.			
T1179		PROGRAM RECORDS	Includes administrative and operational records used to administer and operate the various TDA program areas that are not included in other TDA record series on this schedule.		4						
T1180		RESEARCH AND REFERENCE MATERIAL	Information used for research on a particular topic, gathered from many different sources, including parts of other record series, that are maintained if considered necessary for future use.	AV							
T1201	1.2.001	DESTRUCTION AUTHORIZATIONS	Agency level documents authorizing final disposition of records under a certified records retention schedule.	FE	3						
T1203	1.2.003	FORMS HISTORY FILE	Print masters of original version and all subsequent revisions to TDA forms, including any associated design or design modification requests.	AC	1			AC = Discontinuance of use of form.			
T1204	1.2.004	FORMS INVENTORY	Any periodic listing of all forms used internally or externally by TDA.	US							



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T1205	1.2.005	RECORDS RETENTION SCHEDULE (SLR 105)	Agency copy. Formerly RMD 105. Includes documentation of certification and approval - forms SLR 105C (formerly RMD 105C), and/or other forms designated by the State Records Administrator.	US						Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission.	
T1206	1.2.006	RECORDS TRANSMITTAL FORMS	Agency copy (includes RMD 101, Tx-R-5, 306-58-1, and Agency Storage Forms). Forms indicate records transferred to storage or a transfer of legal custody.	AC	2			AC = Date of authorization for destruction, permanent transfer from storage, or transfer to the Archives and Information Services Division, Texas State Library and Archives Commission, by the agency records management officer.			
T1208	1.2.008	REQUEST FOR AUTHORITY TO DISPOSE OF STATE RECORDS (RMD 102)	Agency copy.	FE	3					Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission.	
T1210	1.2.010	RECORDS DISPOSITION LOGS	Logs or similar records listing records destroyed or transferred to the Archives and Information Services Division, Texas State Library and Archives Commission, showing records series title, dates of records, and date destroyed or transferred.		10						
T1211	1.2.011	RECORDS CENTER STORAGE APPROVAL FORMS (RMD 106)	Agency copy.	US							



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T1212	1.2.012	RECORDS INVENTORY WORKSHEETS		US	1						
T1213	1.2.013	RECORDS CONTROL LOCATOR AIDS	Includes indexes, card files, shelf lists, registers, guides, etc.	AC				AC = When control aid is updated, revised, or no longer needed.		CAUTION: These records must carry the same retention period and archival code of the records they support.	
T1214	1.2.014	RECORDS MANAGEMENT PLANS	Records management plans and similar records that establish the policies and procedures under which records and information are managed in TDA.	US	1						
T1215	1.2.015	DISASTER RECOVERY SERVICES TRANSMITTALS (RMD 109)	Also includes documentation for disaster recovery services provided by other entities.	FE	1						
T1216	1.2.016	DISASTER RECOVERY SERVICE APPROVAL FORM (RMD 113)	Agency copy of form.	AC				AC = Until superseded or termination of service.			
T1217		RECORDS MANAGEMENT PROGRAM DEVELOPMENT FILES	Records of RM consultation and assistance provided to TDA programs; RM projects; research and correspondence conducted by TDA RM.	AV							



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T1301	1.3.001	STATE PUBLICATIONS	One copy of each state publication as defined on page xi of the introduction of the Texas State Records Retention Schedule, 4th edition, dated 7/4/2012, 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 441.101-441.106). The Texas State Library and Archives Commission will retain a copy of all state publications submitted to it on a continuing basis, subject to periodic evaluation to determine if the publication merits further retention. 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 §§3.1-3.16).	
T1302	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 TDA.	AV					R		



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T2101	2.1.001	PROCESSING FILES	Machine-readable files used in the creation, utilization, and updating of master files.	AC			90	AC = Completion of 3rd verification cycle (Quality Assurance), or audit completion confirming successful transaction processing, or required audit trail maintenance, or the ability to restore or migrate when errors are detected or when hardware or software changes occur.		NOTE: The retention period is longer than TSL RRS in order to provide a time frame (90 days) for quality assurance check. CAUTION: TDA Record Coordinators must be certain that all Quality Assurance is complete before destroying source documents that are data entered only. All other documents [NOT entered into <i>Bringing Resource Integration and Data together for Greater Efficiency</i> (BRIDGE)] should be placed under the proper record series. VITAL	
T2102	2.1.002	MASTER FILES	Relatively long-lived computer files containing organized and consistent sets of complete and accurate electronic records. Examples include, but are not limited to, data tables of relational databases used by applications or computer programs.	AC				AC = Completion of 3rd verification cycle, or audit completion confirming successful transaction updates, or required audit trail maintenance, or the ability to restore or migrate when errors are detected or when hardware or software changes occur.		CAUTION: Records management officers must be certain before assigning the retention period of AC to agency automated processing files that the files do not fall under records series listed elsewhere. VITAL	



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T2107	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 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. VITAL	13 TAC 6.94.
T2108	2.1.008	HARDWARE DOCUMENTATION	Records documenting operational and maintenance requirements of computer hardware such as operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems.	AC				AC = Until electronic records are transferred to and made usable in a new hardware environment or there are no electronic records being retained to meet an approved retention period that require the hardware to be retrieved and read.		CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records. VITAL	13 TAC 6.94.



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T2109	2.1.009	TECHNICAL DOCUMENTATION	Records adequate to specify all technical characteristics necessary for reading or processing of electronic records and their timely, authorized disposition including documentation describing how a system operates and necessary for using the system such as user guides, system or sub-system definitions, system specifications, input and output specifications, and system flow charts; program descriptions and documentation such as program flowcharts, program maintenance logs, change notices, and other records that document modifications to computer programs; and data documentation necessary to access, retrieve, manipulate, and interpret data in an automated system such as a data element dictionary, file layout, code book or table, and other records that explain the meaning, purpose, structure, logical relationships, and origin of the data elements.	AC				AC = Until electronic records are transferred to and made usable in a new hardware or software environment with new documentation or there are no electronic records being retained to meet an approved retention period that require the documentation to be retrieved and read.		CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records. VITAL	13 TAC 6.94.



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T2110	2.1.010	AUDIT TRAIL RECORDS	Files needed for electronic data audits such as files or reports showing transactions accepted, rejected, suspended, and/or processed; history files/tapes; records of online updates to application files or security logs.	AC				AC = All audit requirements have been met.		VITAL	
T2111	2.1.011	FINDING AIDS, INDEXES AND TRACKING SYSTEMS	Automated indexes, lists, register, and other finding aids used to provide access to records.	AC				AC = The related records have been destroyed.		CAUTION: These records must carry the same retention period and archival code of the records they support. VITAL	
T2201	2.2.001	SYSTEM MONITORING RECORDS	Electronic files or automated logs created to monitor computer systems such as print spool logs, console logs, tape activity logs, etc.	AV							
T2202	2.2.002	CHARGEBACK RECORDS TO DATA PROCESSING SERVICES USERS	Records used to document, calculate costs, and bill program units for computer usage and data processing services. These records are also used for cost recovery, budgeting, or administrative purposes.	FE	3						
T2204	2.2.004	COMPUTER JOB SCHEDULES AND REPORTS	Schedules or similar records showing computer jobs to be run and other reports by computer operators or programmers of work performed; includes IT Helpdesk tickets and request from program for hardware and software that requires approval from IT.			3					



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T2210	2.2.010	DATA PROCESSING POLICIES AND PROCEDURES	Manuals, guidelines, or similar documents establishing data processing policies and procedures at TDA in such areas as access and security, systems development, data retention and disposition, data ownership, production control, system back-up, etc.	US	3					NOTE: See Item Numbers 1.1.070 and 1.1.071 CAUTION: Does not include technical documentation of procedures necessary for reading or processing of electronic records. SEE item number 2.1.009. VITAL	
T2211	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.			
T2212	2.2.012	OUTPUT RECORDS FOR COMPUTER PRODUCTION	Reports showing transactions that were accepted, rejected, suspended, and/or processed.	AV						VITAL	
T2213	2.2.013	QUALITY ASSURANCE RECORDS	Information verifying the quality of system, hardware, or software operations including records of errors or failures and the loss of data resulting from such failures, documentation of abnormal termination and of error free processing, checks of changes put into production, transaction histories, and other records needed as an audit trail to evaluate data accuracy.	AC				AC = No longer needed as an audit trail for any records modified.			



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T2214	2.2.014	INTERNET COOKIES	Data resident on hard drives that make use of user-specific information transmitted by the Web server onto the user's computer so that the information might be available for later access by itself or other servers.	AV						The disposal of Internet cookies need not be documented through destruction authorizations (1.2.001) or in records disposition logs (1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (1.2.014).	
T2215	2.2.015	HISTORY FILES - Web Sites	A record of the documents visited during an Internet session that allows users to access previously visited pages more quickly or to generate a record of usage of a state-owned computer.	AV						The disposal of history files need not be documented through destruction authorizations (1.2.001) or in records disposition logs (1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (1.2.014).	
T2216	2.2.016	SOFTWARE REGISTRATIONS, WARRANTIES AND LICENSE AGREEMENTS		LA	3					VITAL	
T2217		DATA ENTRY TROUBLE SHOOTING FILES	This record series is to help in trouble shooting data entry in the BRIDGE system. File to include customer inquiry, research and resolution of problems with an account.	AC	1			AC = Issue resolved.			



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T2218		BRIDGE RECORDS	Client, contact and facility information for businesses or individuals licensed by TDA.	AC	6			AC = Date that business/individual closes and/or no longer maintains a license with TDA.			
T3101	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
T3102	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.		NOTE: This begins the Employee Master File and will be used as the Record Series for these records. Records Series that may be included are 3.1.019, 3.1.020, 3.1.021, 3.1.022, 3.1.027, 3.1.037, and 3.3.029.	
T3106	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 supervisorial level except in those agencies with counseling staff.	AC	3			AC = Termination of counseling.		CONFIDENTIAL	



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T3111	3.1.011	EMPLOYEE INSURANCE RECORDS	TDA copies of information relating to the selection by employees of life, disability, health, and other types of insurance offered by the State of Texas to its employees.	AC				AC = Until superseded or termination of employment.		CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item number 3.2.001. CONFIDENTIAL	
T3112	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.
T3113	3.1.013	EMPLOYMENT CONTRACTS	File includes, but not limited to, budget, bid proposals, special groups developed from contracted staff.	AC	7			AC = Expiration or termination of the contract according to its terms.		Executed, renewed, or amended on or before September 1, 2015 retention is AC + 4 VITAL	Government Code, 441.1855
T3113A		VOLUNTEERS	Includes interns that sign a "Waiver of Liability" before working with TDA.	AC	3			AC = End of event or employment with agency.			
T3114	3.1.014	EMPLOYMENT SELECTION RECORDS	Includes notes of interviews with candidates, questions asked of applicants, audio and videotapes of job interviews, skills exercise, driving record and previous injury checks, pre-employment physical examinations, pre-employment drug screening test results, polygraph examination results, and all other records that document the selection process.		2					CAUTION: Does not include criminal history checks. SEE item number 3.1.026. VITAL	29 CFR 1602.31



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T3118	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. SEE item number 1.1.048. CONFIDENTIAL VITAL	
T3119	3.1.019	PERFORMANCE APPRAISALS		AC	5			AC = Termination of employment.		Note: Retention period longer to be consistent with other records series in the employee master file. CONFIDENTIAL	29 CFR 1620.32(c).
T3120	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 item number 3.1.021, all documentation from this series used to support disciplinary action must be retained for the minimum retention period described by item number 3.1.021. CONFIDENTIAL	



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					Years	Months	Days				
T3121	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, TDA, 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.		CONFIDENTIAL VITAL	
T3122	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.	AC	5			AC = Termination of employment.		Note: Retention period longer to be consistent with other records series in the employee master file.	29 CFR 1602.31
T3123	3.1.023	POSITION/JOB DESCRIPTION	Job descriptions, including all associated task or skill statements, for positions in TDA.	AC	5			AC = Until superseded or job eliminated.		Note: Retention period longer to be consistent with other records series in the employee master file. VITAL	40 TAC 815.106(i).



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T3124	3.1.024	PHYSICAL EXAMINATIONS/MEDICAL REPRORTS	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 preemployment physical examinations. SEE item number 3.1.014. CONFIDENTIAL	
T3126	3.1.026	CRIMINAL HISTORY CHECKS	Criminal history record information on job applicants, license applicants, and/or program participant or TDA employees obtained from the Department of Public Safety (DPS).	AC				AC = The criminal history record has served the immediate purpose for which it was obtained.		CAUTION: An agency that is authorized to obtain criminal history 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. CONFIDENTIAL	
T3126A		CRIMINAL HISTORY CHECKS-LEGAL REVIEW	Criminal history background records for license applicants that require legal review.	AC		6		AC = Close of Review.		CONFIDENTIAL	
T3127	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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T3129	3.1.029	EMPLOYMENT ELIGIBILITY, DOCUMENTATION OR VERIFICATION OF	Federal reporting form (INS I-9).	AC	1			AC = Termination of employment.		CAUTION: Federal regulation requires that INS I-9 forms be retained for 3 years from date of hire or 1 year after separation of the employee, whichever is later. Agencies should make certain that the INS I-9 forms for employees who terminate from an agency less than 3 years from date of hire are kept for the 3- year retention period. CONFIDENTIAL VITAL	8 CFR 274a.2(b)(2)(i)(A) and (c)(2).
T3131	3.1.031	EMPLOYEE BENEFITS	TDA copies of information relating to the selection of available benefit options other than insurance.	AC	2			AC = Until superseded or termination of employment.		CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item number 3.2.001. CONFIDENTIAL VITAL	
T3134	3.1.034	RESUMES - Unsolicited	Retention period applies if TDA replies to the sender of a resume that it will be kept on file should future job openings occur.	AV						SEE item number 3.1.014 for resumes, whether solicited or unsolicited, that are used in any way in the employment selection process.	
T3135	3.1.035	PERFORMANCE BONDS	Bonds posted by employees and individuals or entities under contract with TDA for the performance of the duties of a position or the terms of a contract with TDA.	AC	7			AC = Expiration or termination of the bond according to its terms.		CAUTION: Does not include construction or architectural surety bonds. SEE item number 5.2.028. SEE: related item 5.1.001 Contracts and leases. VITAL	Government Code 441.1855



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T3136	3.1.036	APPRENTICESHIP RECORDS	Summary of applicant qualifications, evaluation basis for selection or rejection, original applications, job assignments, promotions, separations, layoffs, terminations, compensation records, conditions of work, time records, hours of training provided (separate from labor), minority status, and gender of all selected and rejected applicants.		5						29 CFR 30.8(e).
T3137	3.1.037	EMPLOYEE RECOGNITION RECORDS	Awards, incentives, tenure, etc.	AC	5			AC = Termination of employment.			
T3138	3.1.038	PUBLIC ACCESS OPTION FORM	Form completed and signed by employee or official, or former employee or official, electing to keep home address, home telephone number, social security number, and family information open or confidential under the Public Information Act, Government Code §552.024.	US						SEE item number 3.3.011. CONFIDENTIAL VITAL	



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T3139	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 EEO. 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 is the appropriate records series. SEE 1.1.048, 3.1.006, 3.1.018, 3.1.020, and 3.1.021. CONFIDENTIAL	
T3201	3.2.001	EMPLOYEE DEDUCTION AUTHORIZATIONS	Documentation used to start, modify, or stop all voluntary or required deductions from payroll, including garnishment or other court-ordered attachments.	AC	4			AC = After termination of employee or after amendment, expiration, or termination of authorization, whichever sooner.		VITAL	
T3202	3.2.002	EMPLOYEE EARNING RECORDS			4					VITAL	40 TAC 815.106(i).
T3203	3.2.003	FEDERAL TAX RECORDS	Includes 1099, W2, FICA and other tax records.	AC	4			AC = Tax due date, date the claim is filed, or date tax is paid whichever is later.		VITAL	26 CFR 31.6001-1(e)(2).
T3204	3.2.004	INCOME ADJUSTMENT AUTHORIZATIONS	Used to make increases or decreases to employees' gross pay, FICA, retirement, or in the computation of taxes.		2					VITAL	29 CFR 516.6(c).
T3205	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.		VITAL	26 CFR 31.6001-1(e)(2).
T3206	3.2.006	WAGE RATE TABLES			2						29 CFR 516.6(a)(2).



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T3207	3.2.007	UNEMPLOYMENT COMPENSATION RECORDS		AC	5			AC = Date Settled			
T3208	3.2.008	DIRECT DEPOSIT APPLICATION/AUTHORIZATIONS		US						VITAL	
T3209	3.2.009	STATE DEFERRED COMPENSATION RECORDS		AC	5			AC = All accounts with a vendor or vendors for the 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 the Employees Retirement System of Texas. VITAL	
T3210	3.2.010	HUMAN RESOURCES INFORMATION SYSTEM (HRIS) REPORTS	Includes supporting documentation.	AC	4			AC = Date of Report		CONFIDENTIAL VITAL	
T3301	3.3.001	AFFIRMATIVE ACTION PLANS	Affirmative action plans for both regular employees and apprenticeship programs.		5					CONFIDENTIAL	29 CFR 30.8(e) for apprenticeship plans.
T3304	3.3.004	BENEFIT PLANS	Employee benefit plans such as pension; life, health, disability insurance; deferred compensation; etc., including amendments.	US	1						29 CFR 1627.3(b)(2).
T3310	3.3.010	LABOR STATISTICS REPORTS	Reports providing statistical information on labor force.		3					CONFIDENTIAL	



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T3311	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.		VITAL SEE item number 3.1.038	
T3315	3.3.015	POSITIONS/JOB CLASSIFICATION REVIEW FILE	Records relating to review and monitoring of job classifications within TDA.	US	3						
T3320	3.3.020	WORK SCHEDULES/ASSIGNMENTS	Work, duty, shift, crew, or case schedules, rosters, or assignments.		1						
T3322	3.3.022	TEXAS WORKFORCE COMMISSION (TWC) REPORTS	Reports to TDA from TWC or its predecessor pertaining to employees.		3						
T3323	3.3.023	REIMBURSABLE ACTIVITIES, REQUESTS AND AUTHORIZATIONS TO ENGAGE IN	Requests and authorizations for travel; participation in educational programs, workshops, or college classes; or for other work-related activities for which the expenses of the employee are defrayed or reimbursed.	FE	3						
T3324	3.3.024	PERSONNEL POLICIES AND PROCEDURES	Any internally distributed manuals, guidelines, or similar records that define agency wide policies and procedures concerning TDA personnel.	US	3						
T3325	3.3.025	JOB PROCEDURE RECORDS	Any documents detailing the procedural duties and responsibilities of TDA positions on a position-by-position basis.	US	3						



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T3326	3.3.026	AGENCY STAFFING REPORTS	Any reports compiled by TDA 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						
T3327	3.3.027	APTITUDE AND SKILLS TESTS	Aptitude or skills tests required of job applicants or of current personnel to qualify for promotion or transfer.	US	2					CAUTION: One copy of each different test (different in terms of either questions or administration procedures) should be retained for the period indicated. CONFIDENTIAL	29 CFR 1602.31
T3328	3.3.028	APTITUDE AND SKILLS TESTS (Test Papers) - HIRED	Aptitude and skills test papers of current personnel taking a test to qualify for promotion or transfer.	AC	5			AC = Termination of employment.		Note: Retention period longer to be consistent with other records series in the employee master file. CONFIDENTIAL	29 CFR 1602.31
T3328A	3.3.028	APTITUDE AND SKILLS TESTS (Test Papers) - NOT HIRED	Aptitude and skills test papers of job applicants or of current personnel taking a test to qualify for promotion or transfer.		2					NOTE: Maintained with 3.1.014 TDA Employment Selection Records. CONFIDENTIAL	29 CFR 1602.31
T3329	3.3.029	APTITUDE AND SKILLS TESTS - (Validation Records)	Records of the validation of aptitude and skills tests.	AC	2			AC = As long as the test is used by an agency.			29 CFR 1602.31



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T3330	3.3.030	TRAINING ADMINISTRATION RECORDS	Instructional materials and other records associated with in-house training of TDA personnel on personnel policies and procedures and other policies and procedures that govern TDA programs, services, or projects.	US	2					CAUTION: Does not include hazardous material training records. SEE item number 5.4.007.	
T3331	3.3.031	EEO REPORTS AND SUPPORTING DOCUMENTATION	Includes documentation used to complete EEO reports.		3					CONFIDENTIAL	29 CFR 1602.32, 1602.39, 1602.41, 1602.48, and 1602.50.
T3332	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.		3					CONFIDENTIAL VITAL	29 CFR 1620.32.
T3401	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						
T3402	3.4.002	LEAVE STATUS REPORTS	Cumulative report is issued each pay cycle and provides employee leave status information for each position.	FE	3					VITAL	
T3403	3.4.003	LESS THAN FULL-TIME WORKED REPORTS	Dates and hours.		4						40 TAC 815.106(i).
T3404	3.4.004	OVERTIME AUTHORIZATIONS			2						



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T3405	3.4.005	OVERTIME SCHEDULES			2						
T3406	3.4.006	TIME CARDS AND TIME SHEETS			4						40 TAC 815.106(i).
T3407	3.4.007	TIME OFF AND/OR SICK LEAVE REQUESTS		FE	3						
T3408	3.4.008	SICK LEAVE POOL DOCUMENTATION	Requests submitted, approvals, number of hours transferred in and out, etc.	FE	3						
T4101	4.1.001	ACCOUNTS PAYABLE INFORMATION		FE	3						
T4102	4.1.002	BILLING DETAIL		FE	3					CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.	
T4103	4.1.003	CANCELED CHECKS/STUBS/WARRANT S/DRAFTS		FE	3						
T4104	4.1.004	ENCUMBRANCE DETAILS		FE	3						
T4105	4.1.005	INVENTORY AND OTHER COST FILES	Production, job, labor, quotes, pricing, specifications, etc.	FE	3						
T4106	4.1.006	INVESTMENT TRANSACTION FILES		FE	3						
T4107	4.1.007	TRANSFERS OR BUDGET REVISIONS	Transfers or adjustment to budgets.	FE	3						
T4108	4.1.008	ELECTRONIC FUND TRANSFERS	Direct Deposit Registers.	FE	3						
T4201	4.2.001	CASH DEPOSIT VOUCHERS	Cash deposit slips.	FE	3						
T4202	4.2.002	CASH RECEIPTS	Includes receipts for fees (permits, licenses, renewals, etc.).	FE	3						



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T4203	4.2.003	DAILY CASH RECEIPTS LOGS		FE	3						
T4204	4.2.004	ENCUMBRANCE VOUCHERS	Orders, statements, change orders, etc.	FE	3						
T4205	4.2.005	PURCHASE VOUCHERS	Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE	3						
T4206	4.2.006	GENERAL JOURNAL VOUCHERS		FE	3						
T4207	4.2.007	EXPENDITURE VOUCHERS	Travel, payroll, etc.	FE	3						
T4301	4.3.001	SALES JOURNALS OR REGISTERS		FE	3						
T4302	4.3.002	RECEIPTS JOURNALS OR REGISTERS		FE	3						
T4303	4.3.003	EXPENDITURES JOURNALS OR REGISTERS		FE	3						
T4401	4.4.001	GENERAL AND SUBSIDIARY LEDGERS		FE	3					VITAL	
T4402	4.4.002	ACCOUNTS RECEIVABLE LEDGERS		FE	3					VITAL	
T4403	4.4.003	ACCOUNTS PAYABLE LEDGERS		FE	3						
T4404	4.4.004	EMPLOYEE SAVING BONDS LEDGERS		FE	3					VITAL	
T4501	4.5.001	WORKSHEETS FOR PREPARING FISCAL REPORTS		FE	3						



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T4502	4.5.002	INTERNAL FISCAL MANAGEMENT REPORTS	Includes TDA monthly budget reports.	FE	3						
T4503	4.5.003	ANNUAL FINANCIAL REPORTS	Required by the General Appropriations Act (100 Day Report).	AC	6			AC = September 1 of odd-numbered calendar years.		CAUTION: If an agency does not produce a biennial or annual narrative report as described in item number 1.1.066, then these annual financial reports must be marked with Archival Code A. The archival requirement, when a 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.	
T4505	4.5.005	EXTERNAL FISCAL REPORTS	Special purpose - i.e. federal financial reports, salary reports, etc. Includes HUB Reports.	FE	3						
T4506	4.5.006	ANNUAL OPERATING BUDGETS	Required by the General Appropriations Act.	FE	3						
T4507	4.5.007	USAS REPORTS - DAILY		AC				AC = Receipt and reconciliation of monthly report.			
T4508	4.5.008	USAS REPORTS - MONTHLY		AC				AC = Receipt and reconciliation of annual report.			
T4509	4.5.009	USAS REPORTS - ANNUAL		FE	3						



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T4601	4.6.001	BALANCING REORDS		FE	3						
T4602	4.6.002	RECONCILIATIONS		FE	3						
T4603	4.6.003	CASH COUNTS		FE	3						
T4701	4.7.001	ACCOUNTING POLICIES AND PROCEDURES MANUALS		US	3					VITAL	
T4702	4.7.002	BANK STATEMENTS		FE	3						
T4703	4.7.003	RETURNED CHECKS/WARRANTS/DRAFTS (UNCOLLECTABLE)		AC	3			AC = After deemed uncollectable.			
T4704	4.7.004	CAPITAL ASSET RECORDS		LA	3						
T4705	4.7.005	CLAIM FILES		AC	3			AC = Resolution of claim.		VITAL	
T4706	4.7.006	COMPTROLLER STATEMENTS		FE	3						
T4707	4.7.007	DETAILS CHART OR ACCOUNTS	One for all accounts in use for a fiscal year.	FE	3						



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					Years	Months	Days				
T4708	4.7.008	FEDERAL GRANT RECORDS	Records of federal grant projects TDA participated in or administered. It includes grant authorizations records, which provide evidence of the award of grants to or by TDA; grant/project financial or performance reports, which are periodic reports of financial activity and/or program performance related to grants received or made by TDA.	AC	3			AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (the Common Rule).		NOTE = Texas Capitol Fund AND Community Development Block Grant records will be preserved until TDA receives a declaration that the federal grant funding year has been closed by HUD. CAUTION: Retention requirements may vary depending on the specific federal funding agency. Agencies must ensure that records are retained for the appropriate retention period. VITAL	
T4708A	4.7.008	STATE GRANTS	Records of state grant projects TDA administered. It includes grant authorizations records, which provide evidence of the award of grants by TDA; grant/project financial or performance reports, which are periodic reports of financial activity and/or program performance related to grants made by TDA.	AC	3			AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (the Common Rule).		VITAL	
T4708B		UNSUCCESSFUL GRANT OR LOAN APPLICATIONS	Any records relating to a proposal submitted for loans, a federal or state grant that did not receive funds.		2						



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T4708B-1		UNSUCCESSFUL GRANT APPLICATIONS- Community Development Block Grants	Records document applications for CDGB funding which were not successful in securing funding. Included but not limited to grant applications, checklists, review forms, low and moderate-income analysis, match leverage data, public facility review worksheets, related correspondence and records created by the Regional Review Committees.	AC	10			AC = Date received.			
T4708C		RESEARCH GRANTS FINAL REPORTS	To include but not limited to Food and Fibers, Enology and Viticulture, Zebra Chip Disease, Texas-Israel Exchange, Feral Hog, USDA Specialty Crop Block Grants.	PM					A		
T4708C-1		PLANNING & CAPACITY BUILDING FUND AND COLONIA PLANNING FUND DOCUMENTS AND REPORTS	Includes, but not limited to, final planning documents and reports such as comprehensive plans containing city and county-wide assessments and profiles prepared by administrative consultants.	AC	10			AC = Date received.			
T4709	4.7.009	FIXED ASSET SEQUENTIAL NUMBER LOGS		US	3						
T4710	4.7.010	LONG-TERM LIABILITY RECORDS	Bonds, Loans, etc.	AC	3			AC = Retirement of debt.		VITAL	
T4711	4.7.011	TEXAS FACILITIES COMMISSION STATEMENTS (TFC)	Charge or bill statements received by TDA from the TFC for services provided.	FE	3						



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T4712	4.7.012	Signature Authorizations	Signature cards or similar records establishing authority of TDA employee to initiate or authorize financial transactions on behalf of TDA.	AC	3			AC = US + FE			
T5101	5.1.001	CONTRACTS AND LEASES	Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. May also include other applicable documentation in the master contract file per Texas Comptroller of Public Accounts Contract Management Guide.	AC	7			AC = Expiration or termination of the instrument according to its terms.		NOTE: Contracts executed, renewed or amended on or before August 31, 2105 has a retention of AC+4. 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. VITAL	Government Code, 441.1855
T5101A		MEMORANDUMS OF UNDERSTANDING	This is to be used for agreements between TDA and other entities to accomplish projects and/or services not related to grants.	AC	7			AC = Expiration or termination of the memorandum.		NOTE: MOU's related to Grants given by TDA or received by TDA will have a retention of AC+3 once the MOU has expired.	
T5103	5.1.003	Delivery Reports			2						
T5104	5.1.004	MAIL AND TELECOMMUNICATIONS LISTINGS	Any mailing address, telephone or fax number, or e-mail address records maintained by TDA on its employees or on entities or persons it serves.	US							



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T5105	5.1.005	POSTAGE RECORDS	Records and reports of postage expenses, including postal meter usage.	FE	3						
T5107	5.1.007	REQUISITIONS FOR IN-AGENCY OR INTER-AGENCY COPY/PRINTING SERVICE	Includes word processing and data processing.	AV							
T5110	5.1.010	LICENSES AND PERMITS FOR NONVEHICLES	Used for Computer Application Licenses, etc. Does not include licenses and permits issued by TDA as part of its legislative mandate.	AC	2			AC = Expiration or termination of license or permit.		VITAL	
T5111	5.1.011	PHOTOCOPIER USE LOGS & REPORTS		AV							
T5112	5.1.012	CHARGE SCHEDULES/PRICE LISTS	Schedules of prices charged by TDA for services to the public or other agencies, including any documentation used to determine the charges.	US	3						
T5113	5.1.013	INSURANCE POLICIES	For vehicles, equipment, etc.	AC	7			AC = Expiration or termination of the policy according to its terms.		Executed, renewed or amended on or before August 31, 2015 has a retention of AC+4 VITAL	Government Code 441.1855
T5114	5.1.014	OFFICE PROCEDURES	Any internally distributed manual, guidelines, or similar records that establish standard office procedures for TDA; for example, TDA style manuals, telephone protocols, mail room procedures, print shop and photocopy ordering instructions.	US	1						



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T5115	5.1.015	CORRESPONDENCE TRACKING RECORDS	Any record created by TDA to track any type of incoming and outgoing correspondence or packages by the U.S. Postal Service or by private couriers including gifts received by any agency staff.		1					NOTE: Federal Aviation Authority (FAA) Octane shipping labels maintained for 2 years.	
T5117	5.1.017	CONTRACT LOG	List of TDA contracts, leases, and agreements including general obligation, land lease, utilities, and construction contracts.	FE	3						
T5201	5.2.001	APPRAISALS-BUILDING OR PROPERTY		AV					R	VITAL	
T5202	5.2.002	BUILDING CONSTRUCTION PROJECT FILES	Planning, design, and construction records; accepted and rejected bids; correspondence; etc.	AC	10			AC = Completion of project.	R	SEE ALSO item numbers 5.2.003 & 5.2.028. VITAL	
T5203	5.2.003	BUILDING PLANS AND SPECIFICATIONS - State Owned	Includes architectural and engineering drawings, profiles, and blueprints.	LA					R	SEE ALSO item numbers 5.2.002 and 5.2.028. ARCHIVES NOTE: Archival review designation is for state-owned buildings only. VITAL	
T5203A	5.2.003	BUILDING PLANS AND SPECIFICATIONS - Leased	Includes architectural and engineering drawings, profiles, and blueprints.	AC	2			AC = Termination or cancellation of lease.			
T5204	5.2.004	BUILDING SPACE REQUESTS			1						
T5205	5.2.005	CALIBRATION RECORDS (Equipment or Instrument)			15					Note: TDA determined these records are needed five years beyond the 10-year federal retention period.	



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T5206	5.2.006	PROPERTY DESTRUCTION, CERTIFICATES OF		FE	3						
T5207	5.2.007	DAMAGE REPORTS	Reports of damage to state property.	FE	3						
T5208	5.2.008	EQUIPMENT HISTORY FILES; EQUIPMENT SERVICE AGREEMENTS	Agreements or contracts between TDA and equipment vendor to provide maintenance service for equipment. Includes requests for installation, moves, service, etc.; and service/repair logbooks, etc.	LA	3					For service agreements or contracts related to equipment repairs and service, retain in accordance with item number 5.1.001.	
T5209	5.2.009	EQUIPMENT INVENTORY DETAIL REPORT FORMS	Updates TDA portion of the inventory listing and adds, changes, transfers, or deletes items from inventory.	FE	3						
T5210	5.2.010	EQUIPMENT MANUALS		LA							
T5211	5.2.011	EQUIPMENT WARRANTIES		AC	1			AC = Expiration of warranty.			
T5212	5.2.012	ESTIMATE FILES (Supply and Repair Cost Estimates)			1						
T5214	5.2.014	INVENTORY - ANNUAL PHYSICAL	Properties, equipment, supply verification.	FE	3						
T5215	5.2.015	INVENTORY, NOTICES OF EQUIPMENT REMOVED FROM		FE	3						
T5216	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 listing			
T5217	5.2.017	LOST & STOLEN PROPETY REPORTS		FE	3						
T5218	5.2.018	QUALITY CONTROL REPORTS			2						



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T5219	5.2.019	SERVICE ORDERS	TDA copy of forms completed by mechanical service personnel for installation or repair. Includes billing code, service, labor, parts, and remarks.		1						
T5220	5.2.020	SUPPLY USAGE RECORDS		FE	1						
T5221	5.2.021	SURPLUS PROPERTY SALE REPORTS		FE	3						
T5222	5.2.022	UTILITY USAGE REPORTS		AV							
T5223	5.2.023	YEAR-TO-DATE ACTIVITY (INVENTORY LISTING)	Shows additions, changes, transfers, and deletions of information within the inventory system. Data include agency, division, tag number, batch, document, transaction date, location, item code, description, date, and cost.	FE	3						
T5224	5.2.024	MATERIAL SPECIFICATIONS		AC	2			AC = Material is not longer in the agency.			
T5225	5.2.025	EQUIPMENT DESCRIPTIONS AND SPECIFICATIONS		AC	2			AC = Equipment is no longer in the agency.			
T5226	5.2.026	FACILITIES RESERVATION LOGS	Reservation logs or similar records relating to the use of TDA facilities such as meeting rooms, auditoriums, etc.		2						
T5227	5.2.027	SPACE UTILIZATION REPORTS		AV							



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T5228	5.2.028	BUILDING CONSTRUCTION CONTRACT AND INSPECTION RECORDS	Building construction contracts, surety bonds, and inspection records.	LA	10				R	SEE ALSO item numbers 5.2.002 and 5.2.003. VITAL	
T5302	5.3.002	FREIGHT BILLS PAID		FE	3						
T5303	5.3.003	FREIGHT CLAIMS		AC	2			AC = Resolution of claim.			
T5304	5.3.004	ORDER-ACKNOWLEDGMENTS		AV							
T5305	5.3.005	PACKING SLIPS		AV							
T5307	5.3.007	BID DOCUMENTATION	Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, accepted and rejected bids, and bid tabulation/evaluations.	AC	7			AC = Expiration or termination of the instrument according to its terms or decision not to proceed with the bid		NOTE: Associated with a contract executed, renewed, or amended on or before August 31, 2015 retention is FE+3 NOTE: 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 ect.) retention is AC+2 NOTE: CAUTION: If a formal written contract is the result of a successful bid or request for proposal, the successful bid or request for proposal and its supporting documentation must be retained for the same period as the contract. SEE item number 5.1.001 and 5.2.028.	



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T5308	5.3.008	PURCHASING LOGS	Log, register, etc., providing a record of purchase orders issued, orders received, and similar data on procurement status.	FE	3						
T5309	5.3.009	REQUESTS FOR INFORMATION	Requests for information preliminary to the procurement of goods or services by direct purchase or bid.	AC				AC = Date of direct purchase, issuance of request for bids, or decision not to proceed with the procurement, as applicable.		CAUTION: If the request for information leads to request for proposal or bid, the request for information documentation should be retained in accordance with item number 5.3.007.	
T5401	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 Workers' Compensation Commission or its predecessors or maintained internally on accident frequency.	CE	5					The Texas Department of Insurance retains copies of the reports submitted to it for 50 years. VTIAL	29 CFR 1904.33.
T5401A		VEHICLE ACCIDENT RECORDS	Records include, but not limited to, police reports, photos, witness statements, insurance documentation of other parties involved.	AC	3			AC = After closed or settled.		Retention set by agency practice.	
T5402	5.4.002	EVACUATION PLANS	Plans for evacuation of TDA facilities in cases of emergency.	US							
T5403	5.4.003	INSPECTION RECORDS	Fire, safety, and other inspection records of TDA facilities and equipment.	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 item number 5.2.028.	



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T5404	5.4.004	FIRE ORDERS	Orders issued by Fire Marshal to correct deficiencies in compliance with the fire code.	AC	3			AC = Deficiency corrected.			
T5407	5.4.007	HAZARDOUS MATERIALS TRAINING RECORDS	Records of training given employees in the TDA hazard communications program.		5						Texas Health and Safety Code, 502.009(g).
T5408	5.4.008	HAZARD COMMUNICATION PLANS		US	5					VITAL	Texas Health and Safety Code, 502.009(g).
T5408A		HAZARDOUS WASTE RECORDS	Includes, but not limited to, manifests, shipping papers and trip tickets that document the pick up and delivery of hazardous waste.		3						40 CFR 262-263. 30 TAC 335.13
T5409	5.4.009	WORKPLACE CHEMICAL LISTS	Includes TDA lists and lists filed with TDA under the Texas Agricultural Hazard Communication Act.		30						Texas Health and Safety Code, 502.005(d). TX AG Code 125.005.
T5410	5.4.010	MATERIAL SAFETY DATA SHEETS		AC				AC = After sheets are updated or hazardous chemical no longer stored by agency, as applicable.			
T5411	5.4.011	VISITOR CONTROL REGISTERS	Logs, registers, or similar records documenting visitors to limited access or restricted areas of TDA facilities.		3						
T5412	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 TDA or state facilities, equipment or automated systems.	AC	2			AC = Until superseded, date of expiration, or date of termination, whichever is sooner.		VITAL CONFIDENTIAL	



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T5413	5.4.013	DISASTER PREPAREDNESS AND RECOVERY PLANS		US						VITAL	
T5501	5.5.001	BILLING DETAIL- Telecommunications (Other Than TEX-AN)	In addition to summary detail, includes any accompanying detailed listing of long distance calls.	FE	3					SEE item number 5.5.006 for TEX-AN billing detail.	
T5502	5.5.002	LONG DISTANCE TELEPHONE LOGS	Long distance logs created by TDA for internal documentation purposes. Includes any similar logs created for long distance facsimile or electronic transmissions.	AV							
T5503	5.5.003	STATION ACTIVITY REPORTS	Internal listing of incoming/outgoing telephone activity to individual telephone stations.	AV							
T5504	5.5.004	SYSTEM ACTIVITY REPORTS	Internal listing of all incoming/outgoing TDA telephone activity.	AV							
T5506	5.5.006	BILLING DETAIL - Telecommunications (TEX-AN)	In addition to summary detail, includes any accompanying detailed listing of long distance calls.	FE	3					The billing agency will maintain all long distance TEX-AN records and will provide each using agency its 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.	



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T5507	5.5.007	DISPUTED CALL DOCUMENTATION	Documentation relating to disputed long distance calls, including documents evidencing repayment by employees for personal long distance use.	FE	3						
T5603	5.6.003	INSPECTION REPAIR AND MAINTENANCE RECORDS - VEHICLES		LA	1						
T5604	5.6.004	LICENSE AND DRIVING RECORD CHECKS		AC				AC = Until superseded or until termination of employment.			
T5605	5.6.005	VEHICLE USE REPORTS	Includes mileage, fuel/oil consumption, passengers carried and other related operational information.	FE	3						
T5607	5.6.007	VEHICLE TITLES & REGISTRATIONS		LA						VITAL	
T5609	5.6.009	PARKING PERMITS OR ASSIGNMENTS		US							



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T6000		LICENSING DAILY BATCH PROCESSING	Includes but not limited to applications, renewals, registrations, permit requests, change of address, change of license, change of business information, termination notices, insurance certificates, fee waiver requests and correspondence for program areas: Weights & Measures, Nursery Floral, Aquaculture, Egg, Grain Warehouse, Handling and Marketing of Perishable Commodities, Pesticides, Pesticide Dealers, Structural Pest Control and GO TEXAN.	FE	3					NOTE: Records maintained by Day/Month/Year.	
T6100		SEED ARBITRATION COMPLAINT		AC	3			AC = Final disposition of the complaint.		CAUTION: If a complaint becomes the subject of litigation, it must be included in and is subject to the minimum retention period of item number 1.1.048. VITAL	TX AG Code ch64.
T6101		REPORT OF BOARD		PM					A		
T6102		SEED & PLANT LICENSE RECORDS	Includes Plant Breeder, Grower's Seed and Conditioning Plant Licenses.	PM						VITAL	TX AG Code 62.006, 62.005, & 62.008.
T6103		WINTER GROW-OUT TEST	Records include Hybrid Sorghum and Hybrid Sunflower tests.		7					CONFIDENTIAL VITAL	
T6104		SEED & PLANT BOARD RECORDS		PM						CONFIDENTIAL VITAL	



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T6105		CERTIFIED GROWER RECORDS	Includes field inspection & Pre-plant applications, conditioning plant inspections and audits and certification labels (tag requests).	AV						VITAL	4 TAC 10.5, 10.24, 10.8, & 10.10. TX AG Code 62.008.
T6106		SEED QUALITY REPORTING SYSTEM	Records related to the reporting system. Includes correspondence, permit, quarterly reporting, reporting system audits, licenses and documents.	AV						VITAL	TX AG Code 61.011.
T6107		SEED FEE TAG RECORDS		FE	3					VITAL	TX AG Code 61.011.
T6108		VEGETABLE SEED FILES	Includes the license and documentation.	FE	3					VITAL	TX AG code 61.013.
T6109		SEED SAMPLE LAB TEST FILES	Includes tests conducted on both agricultural seed and vegetable seed including seed record card.	FE	3					VITAL	
T6110		ORGANIC CERTIFICATION FILES	Include supporting documents and certifications on certifying agents, distributors, processors, producers and retailers.	CE	10					VITAL	Federal Organic Foods Production Act of 1990, Section 6515 (c)(1).
T6111		BIOTECHNOLOGY - CONFIDENTIAL BUSINESS INFORMATION	Includes applications & permits issued by USDA, and listings of regional restrictions for at risk counties.	AC	2			AC = Approved or disapproved.		CONFIDENTIAL	
T6112		METROLOGY LABORATORY RECORDS	Files updated and maintained for administrative reviews and for National Institute of Standards & Technology (NIST) Testing & administrative procedures.	US	2					VITAL	



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T6113		WEIGHTS & MEASURES LICENSE RECORDS	Includes, but not limited to, licenses related to License Service Companies and Technicians and related documents.	AC	6			AC = After expired or terminated due to close of business or violations.		License maintained in the TDA electronic system known as BRIDGE. License valid for one year. VITAL	TX AG Code 13.1151 & 4TAC 2.11.
T6114		AQUACULTURE LICENSE	Includes, but not limited to, Aquaculture Facility and Fish Farm Vehicle Licenses and related documents.	AC	6			AC = After expired or terminated due to close of business or violations.		License maintained in the TDA electronic system known as BRIDGE. License valid for two years. VITAL	TX AG Code 134.015 & 134.012.
T6115		CITRUS PROGRAM RECORDS	Includes but not limited to all quarantine records, registration and inspections, and records related to the Citrus Health Response Program.	CE	5					VITAL	4TAC ch19 Subchapter P. 4TAC ch21 Subchapter A. 4TAC ch21.36 (a). TX AG Code 94.011(a) & 94.031(a).
T6116		CITRUS ROOT WEEVIL FILES	Files include data collection of pest infestations and management for entire state.	FE	3				A	VITAL	4TAC ch19 Subchapter P.



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T6117		COMPLIANCE AGREEMENT	Files should include the agreement, permit, inspections, reports, cancellations, daily activity summaries, records related to quarantines. Includes but not limited to, Phytosanitary Certificates (Federal and State), Quarantine Inspections, Sweet Potato Permits, Export & Import Cert., Violations & rejections, Plant Pest & Noxious Weeds (PPQ526), Soil (PPQ525A)	FE	3					CAUTION: If a Phytosanitary Certificate becomes the subject of an incident of pest interception, it must be included in the minimum retention period of item number T6117A.	TX AG Code ch12, 71, 72, 73, 121 7CFR ch III. 4TAC ch19, 21, & 23
T6117A		COMPLIANCE AGREEMENT - PHYTOSANITARY CERTIFICATE INCIDENT RECORDS		PM					R		7CFR 353.7.
T6118		QUARANTINE SURVEY REPORTS	Data collection on plant quarantines statewide. Includes but not limited to, Imported Fire Ants, Gypsy Moth, and Karnal Bunt.	FE	5				A	VITAL	4TAC ch19, 21 & 71.
T6119		LICENSING OF MARKETING ASSOCIATION RECORDS (CO-OPS)	Includes cooperative annual reports, file memorandum, public hearing registration.	FE	2					VITAL	TX AG Code 52.151(c). 4TAC 4.3(c).
T6120		COTTON PEST MANAGEMENT RECORDS	Includes but not limited to inspections; investigation reports; non-commercial cotton permits and compliance agreements	CE	3					VITAL	4TAC ch20.16 (c) (2). 4TAC ch20.



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T6121		EGG RECORDS	Includes but not limited to brokers, dealers/wholesalers and processors. Files include but not limited to egg inspections and stop sale, quarterly reports, monthly egg reports, out of state monthly reports; label exemption request and retail egg replacement agreements.	FE	2						TX AG Code 132.022, 132.024 & 132.061. TAC Chapter 15; 15.11
T6122		GRAIN WAREHOUSE FILES	Includes, but not limited to, licenses, inspections, audits, investigation documentation, claims and corresponding documents as it is required by law.	AC	6			AC = After expired or terminated due to close of business or violations.		License maintained in the TDA electronic system known as BRIDGE. License valid for one year. VITAL	7CFR 800.145 - 153. TX AG Code 14.023(b) & 14.059(b).
T6122A		GRAIN WAREHOUSE CAPACITY CHARTS AND MAPS		AC	6			AC = When a grain elevator has been deemed not structurally sound, inoperative or is destroyed.		Retention set by agency practice VITAL	
T6123		HANDLING & MARKETING OF PERISHABLE COMMODITIES (HMPC) FILES	Includes, but not limited to, documents related to licenses issued to General producers and cash dealers and related to the Agriculture Protective Act (APA).	AC	6			AC = After license expiration or claim has been settled.		License maintained in the TDA electronic system known as BRIDGE. License valid for one year. VITAL	TX AG Code 101.008(a).
T6124		NEMATOLOGY RECORDS	Records include disease analysis, sample collection report.	FE	7						4TAC 19.2.
T6125		NURSERY FLORAL RECORDS	Includes, but not limited to, Nursery Floral licenses and inspections	AC	6			AC = After expired or terminated due to close of business or violations.		License maintained in the TDA electronic system known as BRIDGE. License valid for one year. VITAL	4TAC 22.2(b). TX AG Code 71.043, 121.004(b) & 121.006.
T6126		PIECE RATE CROP SURVEY		FE	2						TX Labor Code 62.111.



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T6127		WEIGHTS & MEASURES RECORDS	Include, but not limited to, licenses and inspections and related information on devices, packages, public weighers, scales and scanner (price verifications).	AC	6			AC = After expired or terminated due to close of business or violations.		License maintained in the TDA electronic system known as BRIDGE. License valid for one year. Public Weigher valid for two years. VITAL	TAC 12.11(e) & 5.5. TX AG Code 13.252(b), 13.403(b), 13.101(a) & (c) & 13.1011(a).
T6128		EGG LICENSE RECORDS	Include, but not limited to, licenses for brokers, dealers/wholesalers and processors	AC	6			AC = After expired or terminated due to close of business or violations.		License maintained in the TDA electronic system known as BRIDGE. License valid for one year. VITAL	TX AG Code 132.022, 132.024 & 132.061.
T6129		ORGANIC PROGRAM ADMINISTRATION RECORDS	Includes but not limited to accreditation records, inspector and staff training records, program manuals, and records created or received by TDA that demonstrate the department's ability to conduct certification activities.	CE	5					VITAL	7 CFR 205.510(b).
T6130		FUEL QUALITY REGISTRATION	Includes but not limited to registration records for distributors or suppliers.	AC	6			AC = After expiration.		License maintained in the TDA electronic system known as BRIDGE. Registration valid for one year. VITAL	
T6131		FUEL QUALITY RECORDS	Includes but not limited to inspection, photos, narrative, delivery record, sales records, lab analysis, written statements and analyzer tickets.	FE	6						



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T6200		PERMANENT AGREEMENTS	Agreement between TDA and all Contracting Entities operating one or more Child Nutrition Programs and all amendments made to the existing agreement.	AC	3			AC = Date the permanent agreement is terminated or expires.		VITAL	7CFR 210.9(b) (17) & 210.23, 226.6
T6200A		APPLICATION DOCUMENTS	Any document required by TDA for the participation of a Contracting Entity in a Child Nutrition Program.	AC	3			AC = Disqualified, terminated or does not renew participation in a Child Nutrition Program.		VITAL	7CFR 210, 215, 220, 225, 226
T6201		ADMINISTRATIVE REVIEW	Records related to administrative reviews conducted by TDA and/or USDA. Includes but not limited to findings, corrective action documents, worksheets and other related working documents before or after the review, correspondence related to approval or denial of corrective action documents or requests for additional information or documentation.	US	3					US = Superseded by a new review or Contracting Entities terminates from a Child Nutrition Program.	7CFR 210.18, 210.23, 215, 220, 225, 226, 247, 248, 249, 251, 252
T6201A		ADMINISTRATIVE REVIEW- (Working Papers)	Includes but is not limited to reviewer notes and working papers.	AC	3			AC = Date of submission of the final financial status report for the fiscal year.			7 CFR 210.23(c)



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T6202		FOOD SERVICE MANAGEMENT COMPANY (FSMC) RECORDS	Files include but not limited to contracts, claims, correspondence, pending files, certifications and procurement data.	AC	5			AC = The final contract renewal period has expired or final payment is recorded, whichever is later.		NOTE: Not to exceed four renewals after initial contract. These contracts are between School Districts and FSMC, TDA reviews and maintains as part of the School Districts participation in USDA/TDA SNP programs. Records are maintained in the Food and Nutrition Program imaging system known as DSS.	7CFR 210.16, 210.23, 215, 220, 225, 226, 247.
T6203		REIMBURSEMENT RECORDS	Includes letter of credit, requests for funds, claims and/or authorized advances.	AC	3			AC = Date of submission of the final financial status report for the fiscal year.		VITAL	7CFR 210.8, 210.23, 226.9, 247.27, 215, 220
T6205		FOOD NUTRITION SERVICE (FNS) REPORTS	Reports submitted to FNS. Includes but not limited to FNS-10, FNS-13, FNS-44, FNS-418. This series covers all reports submitted to USDA FNS. This series also includes the State Administrative Expense report.	FE	3					Maintained on Federal Fiscal Year	7CFR 210.20 & 210.23. 7CFR 235.7
T6206		CHILD NUTRITION PROGRAM INFORMATION MANAGEMENT SYSTEM RECORDS (CNPIMS)		AC	6			AC = End of school year.		VITAL	
T6207		PROVISION 2 FILES	Files include School District's application, approval documentation, base year established and extension/renewal requests.	AC	5			AC = After school district is no longer on Provision 2.			



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T6208		NATIONAL DISQUALIFIED LIST (NDL) RECORDS	Records related to Contracting Entities and Individuals placed on NDL status. Includes letters, notifications, rulings and documents detailing criteria for being placed on the list.	AC	3			AC = If/when contractor pays in full the debt owed to TDA and/or the corrective action plan is approved and accepted by TDA and confirmed by USDA FNS.		CE's remain on the NDL for a minimum of seven years even if they meet the required penalty. VITAL	7CFR 226 Child and Adult Care Food Program (CACFP) Policy Memo # 01-2007, CACFP Handbook
T6208A		FOOD AND NUTRITION PROGRAM LISTS	This record includes lists produced or received by Food and Nutrition programs on a routine basis. It includes, but is not limited to, the National Disqualified List (NDL), Seriously Deficient List (SDL), Direct Certification Lists, and Direct Verification Lists.	US						VITAL	7CFR 226 Child and Adult Care Food Program (CACFP) Policy Memo # 01-2007
T6209		SERIOUS DEFICIENCY (SD)	Records related to Contracting Entities and Individuals placed on SD status. Includes staffing forms, SD letters, and documentation to support this process.	AC	3			AC = Approval from FND Community Operations Administrator to initiate the disposition process.		CONFIDENTIAL	7CFR 226; Child and Adult Care Food Program (CACFP) Policy Memo #01-2007
T6209A		TEXAS SUMMER FOOD SERVICE PROGRAM EXCLUDED LIST (TEXSL)	Records related to Contracting Entities and Individuals placed on the TEXSL list including letters, notifications, rulings and documents detailing criteria for being placed on the list.	AC	3			AC = If/when a Contractor pays in full the debt owed to TDA and/or the Corrective Action Plan is approved and accepted by TDA and confirmed by USDA FNS.		CE's remain on the TEXSL for a minimum of seven years even if they meet the required penalty.	Texas Department of Agriculture SFSP Supplemental



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T6210		FOOD DONATIONS	Includes program update files such as agreements, reports, audits, claims actions, funds obtained as in incident of donated food distribution, donated food values and compliance.	FE	3			Maintained on Federal Fiscal Year			7 CFR 250.19
T6212		FOOD PROCESSOR REVIEW FILES	Monthly processor performance reports.	AC	3			AC = Results ended in compliance or all corrective plans have been met.			7CFR 250.19
T6213		OUT OF CONDITION COMMODITY CLAIMS	These claims are reports of loss of USDA Donated Food Reports submitted to TDA by commercial warehouses and food banks when they damage commodities in the warehouse or on deliveries to schools.	FE	3					Maintained on Federal Fiscal Year	7 CFR 250.16
T6214		FOOD ORDERS AND RECEIPTS	Maintained and tracked in TX-UNPS	FE	3					NOTE: TX-UNPS is the Application, Claims and Compliance web-based customer interface for TDA Food & Nutrition Programs.	
T6215		COMMERCIAL DISTRIBUTION CONTRACT	Contracts for the receipt, storage and delivery of USDA foods to NSPL participants. Contractors must update all pertinent information and demonstrate that all donated food has been accounted for before renewal of contract.	AC	7			AC = Contract terminated or expired.		NOTE: One year contract with possibility of 4 extensions.	7CFR 250.14(7)(d)
T6216		COMMERCIAL DISTRIBUTION: WAREHOUSE/STORAGE FACILITY REVIEWS	Records maintained with the associated contracts.	AC	7			AC = Contract terminated or expired.			7CFR 250.14(7)(c)



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T6217		FOOD NUTRITION PROGRAMS FILES	Includes program and/or operational records for USDA Child Nutritional Programs administered by the Texas Department of Agriculture: Child and Adult Care Food Program (CACFP); Summer Food Service Program (SFSP); Special Milk Program (SMP); Commodity Supplemental Food Program (CSFP); School Breakfast Program (SBP); National School Lunch Program (NSLP); Fresh Fruit and Vegetable Program (FFVP); Emergency Food Assistance Program (EFAP) programs Senior Farmers Market Nutrition Program (SFMNP) and Farmers Market Nutrition Program (FMNP) programs.	AC	3			AC = Date of submission of the final financial status report for the fiscal year.		NOTE: Majority of these records are maintained in for the Food and Nutrition Program imaging system known as DSS.	7CFR 215, 220, 225, 226, 247
T6218		WAIVER REQUESTS	State and federal waivers regarding participation in Summer Nutrition Programs.	AC	3			AC = Date of submission of the final financial status report for the fiscal year.			7CFR 225
T6219		REFERRAL RECORDS	Files on Contracting Entities that have been referred to USDA OIG, the Texas OAG or other investigative authorities for further review.	AC	3			AC = Closure by investigative authorities.			
T6220		PROCESSOR STATE PARTICIPATION AGREEMENTS (SPA)	In-state processing and state participation agreements, schedules, performance reports, grading certificates, program audits, end product receipts and procurement documents.	AC	3			AC = Agreement termination or expiration including all extensions			7CFR 250.37



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T6221		COMMODITY SUPPLEMENTAL FOOD PROGRAM (CSFP)	Records pertaining to the receipt, disposal, and inventory of commodities, the receipt and disbursement of administrative fund, other funds, eligibility determinations, fair hearings and other program activities.	FE	3					Maintained on Federal Fiscal Year	7CFR 247.29
T6222		TEXAS EMERGENCY FOOD ASSISTANCE PROGRM (TEFAP)	Records pertaining to the receipt, disposal and inventory of commodities received that are in turn distributed to eligible recipient agencies also includes administrative fund and household information.	FE	3					Maintained on Federal Fiscal Year	7 CFR 251.10
T6223		SENIOR FARMERS MARKET NUTRITIONAL PROGRAMS (SFMNP)	Records pertaining to the agreement, certification, financial operations, coupon issuance and redemption for authorized outlets such as Farmers, Farmer's Markets and Community Supported Agriculture and authorized outlet monitoring. Also includes Community Supported Agriculture invoices, delivery receipts, equipment purchases, inventory, nutrition education, fair hearings, civil rights procedures and other program activities.	AC	3			AC = Date of submission of the final financial status report for the fiscal year.			7 CFR 249.23



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T6224		WOMEN, INFANTS AND CHILDREN FARMERS MARKET NUTRITIONAL PROGRAMS (FMNP)	Record pertaining to financial operations, coupon issuance and redemption, equipment purchases, inventory, nutrition education, fair hearings, civil rights procedures and other program activities.	AC	3			AC = Date of submission of the final financial status report for the fiscal year.			7CFR 248.23
T6300		PESTICIDE LABORATORY PROCEDURE RECORDS	All related records regarding the daily procedures performed in the lab that may be under document control.	PM					A	TDA Pesticide Methods and SOP are permanent. VITAL	40 CFR 160.81.
T6301		PESTICIDE LABORATORY/USDA DOCUMENTATION	Records related to the Pesticide Data Program. Includes PDP samples.		2					Note: Retention requirements are fulfilled when records are transferred to USDA after retention period has been met. CONFIDENTIAL VITAL	
T6302		PESTICIDE LABORATORY REPORTS/CHROMATOGRAPHY REPORTS	Included, but not limited to, records and logbooks related to EPA Cooperative Agreement (complaint reports), Structural Pesticide Board, Organic Certification and Fire Ant Compliance.	AC	5			AC = Results of report.		VITAL	TX AG Code 76.006(b)1
T6303		COMMERCIAL & NON-COMMERCIAL APPLICATOR FILES	Includes, but not limited to, licenses, test documentation, training verification, reciprocity certification and M-44 or Livestock Protection Collar training verification and exams for Commercial and Non-Commercial pesticide and structural pest control applicators, including Technicians.	AC	6			AC = Expiration of license.		License maintained in the TDA electronic system known as BRIDGE. License valid for one year. VITAL	4TAC ch7.



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T6304		PRIVATE & PRIVATE-CERTIFIED APPLICATOR FILES	Includes, but not limited to, licenses, test documentation, training verification and M-44 or Livestock Protection Collar training verification and exams for Private & Private-Certified pesticide applicators.	AC	6			AC = Expiration of license.		License maintained in the TDA electronic system known as BRIDGE. License valid for five years. VITAL	4TAC ch7.
T6305		HERBICIDE SPRAYING PERMIT		AC	2			AC = Expiration of permit.		VITAL	4TAC 7.50.
T6306		PESTICIDE DEALER LICENSING RECORDS	Includes, but not limited to, license records.	AC	6			AC = Expiration of license.		License maintained in the TDA electronic system known as BRIDGE. License valid for two years. VITAL	TX AG Code 76.072. 4TAC 7.20(c).
T6307		PESTICIDES & STRUCTURAL PEST CONTROL APPLICATOR BUSINESS RECORDS	Includes, but not limited to, pesticides license decal and registration information and Structural Pest Control business licenses information.	AC	6			AC = Expiration of license.		License maintained in the TDA electronic system known as BRIDGE. License valid for one year. VITAL	TX AG Code 76.115(c). 4TAC 7.35(a) & (c). TX Occupations Code 1951.301
T6308		CERTIFIED AND INSURED PRESCRIBED BURN MANAGER RECORDS	Includes, but not limited to, license and other required documents	AC	6			AC = Expiration of license.		Records maintained in the TDA electronic system known as BRIDGE after review by program. License valid for two years. VITAL	4TAC 227.7.
T6309		LEAD BURN INSTRUCTOR RECORDS	Includes, but not limited to, application and license.	AC	6			AC = Licensee indicates they are no longer acting as a Lead Burn Instructor.	A	Application maintained by program. License maintained in the TDA electronic system known as BRIDGE. VITAL	4TAC227.7.



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Retention Codes (field 7)

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 LA – Life of Asset
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 US – Until Superseded

Archival Codes (Field 10)

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

1. Agency Code: 551		2. Agency Name: Texas Department of Agriculture									
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				
T6310		PESTICIDE PRODUCT RECORDS	Records related to chemical registration. Included is Product Section 3 Registration, Product Special Registrations, Registration 2EE Policy records, EUP, 24C, Section 18 records.	PM					A	VITAL	4TAC 7.14(c) & 7.10(c). TX AG Code 76.043(a).
T6311		WORKER PROTECTION TRAINING RECORDS	Includes WPS verification training cards, Train-the-Trainer and Worker & Handler Safety training rosters.	CE	5					VITAL	4TAC 7.36(a). 40 CFR pt. 170.
T6312		APPROVED CEU COURSE RECORDS	Records include detailed course outline, categories and number of units, sponsorship applications, speaker information, self-study course and/or electronic course information and approved curriculums and CEU course monitoring.	CE	6						
T6313		CEU COURSE CURRICULUM - NOT APPROVED		CE	1						
T6314		CEU TRAINING ROSTER	Pesticides and Structural Pest Control rosters from trainings required for licensees.	CE	6						Texas Occupational Code 1951.352



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					Years	Months	Days				
T6315		PESTICIDE & STRUCTURAL PEST CONTROL EXAMINATIONS AND ANSWER KEYS	Examination of pesticides and structural pest control processes. To include test questions and answer key created and distributed by TDA. To be taken and passed as a requirement of a Commercial, Non- Commercial Pesticide - Structural Pest Control Applicator and Technician License.	US	2						Texas Ag Code 76.110(a). Occupational Code 1951
T6316		LABORATORY CHEMICAL STANDARDS		AC	5			AC = Date the chemicals are expired, consumed or disposed.		VITAL	PDP-STD-03 (USDA Pesticide Data Program SOP requirements)
T6317		CHEMICAL SAMPLE LOGBOOKS		US	2					VITAL	PDP-STD-04 (USDA Pesticide Data Program SOP requirements)
T6318		USE OBSERVATIONS	Inspections conducted on certified Structural Pest Control Applicators while they apply herbicides, fumigations, etc. TDA Inspectors observe the application process.	AC	5			AC = Inspection completed.		Records maintained in the TDA electronic system known as BRIDGE	TX Occupations Code 1951.207



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3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
T6319		PESTICIDE INSPECTIONS	Inspections conducted by agriculture and structural pesticide program at commercial and non-commercial establishment where commercial business and licensees conduct business or at non-commercial entities that either employs a non-commercial licensee or contract pest control services; such establishments include but not limited to apartments, day-care center, hospital, nursing home, hotel, lodge, warehouse, school or motel.	AC	5			AC = Inspection completed.		Records maintained in the TDA electronic system known as BRIDGE.	TX Occupations Code 1951.207, 1951.459 & 1951.212(g); TX Agriculture Code 76.115 & 76.151
T6320		PRETREATMENT INSPECTIONS	Inspections conducted at request of the consumer. Inspection service to consumers is limited to a determination of whether there is an infestation of pests on the premises inspected.	AC	5			AC = Inspection completed.		Records maintained in the TDA electronic system known as BRIDGE.	TX Occupations Code 1951.210
T6321		INTEGRATED PEST MANAGEMENT (IPM) PROGRAM RECORDS	Records Include standards, categories or pesticides that a school district is allow to apply, the designated IPM coordinator for the district and contact information.	US							TX Occupations Code 1951.212
T6323		PRETREATMENT NOTIFICATIONS	Notice of pre-construction termite treatments of a structure. Notice of structural fumigations. Notifications can be phoned in, e-mailed or faxed to TDA.	FE	3						TX Occupations Code 1951.210



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					Years	Months	Days				
T6324		OUT-OF-STATE DEALER DISTRIBUTION RECORDS	Includes but not limited to monthly reports submitted to TDA.	FE	2						4 TAC 7.32
T6400		RESEARCH PROJECT PROPOSALS	Proposals submitted by universities to TDA for funding approval. The proposal describes the project, survey or investigation on cotton fiber, cottonseed, oilseed products, cotton plan products, wool, mohair, and other textile products; expected outcome and the benefits.	AC	2			AC = Date the research program plan proposal is approved.		Note: For Proposals not approved see T4708B.	4TAC1.927.
T6401		RESEARCH PROGRAM DEVELOPMENT RECORDS	Records relating to research project issues.	AC	2			AC = Resolution of issue(s).		Retention set per agency practice.	