



October 16, 2018

Perry Goggins
Enforcement Program Specialist
Texas Board of Veterinary Medical Examiners
333 Guadalupe St., Hobby Building, Suite 3-810, Tower III
Austin, TX 78701

Re: Agency records retention schedule approved for use.

Dear Mr. Goggins,

Your agency's records retention schedule is approved for use as of October 11, 2018. Your currently approved records retention schedule is available on our website at <https://www.tsl.texas.gov/slrn/state/schedules.html>. Please ensure that all old copies of the schedule are superseded with this recertified copy.

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

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

During a certification period, changes may need to be made to your schedule. State regulations (13 TAC §6.4) also allow for the submission of amendments to the retention schedule as needed to keep the information in the schedule current. If you are not familiar with the amendment process, or if you have any other questions, please contact the Government Information Analyst assigned to your agency, Benjamin Barlow at 512-512-463-5448 or bbarlow@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 be "Craig Kelso".

Craig Kelso
Director and State Records Administrator

cc: Agency head

Lorenzo de Zavala
State Archives and
Library Building

1201 Brazos Street
Austin, Texas
78701

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

www.tsl.texas.gov

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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 578
 Agency Name Texas Board of Veterinary Medical
 Examiners (TBVME)

(Check one)

- Initial Certification - Form SLR 105
- Recertification - Form SLR 105
- Amendment - Form SLR 122

*I hereby certify that this records retention schedule was
 prepared in accordance with Texas Government Code,
 Chapter 441, Subchapter L.*

(Check one)

- Agency Head
- Records Management Officer

Signature [Signature]
 Name (Print or type) Deirdre Buggins
 Date 9-4-18

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) Not Required at This Time
 Date _____

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

Signature [Signature]
 Name (Print or type) Gloria Meraz
 Date 10/11/18

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.



Records Retention Schedule

1. Agency Code: 578		2. Agency Name: Texas Board of Veterinary Medical Examiners									
3. Agency	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				
Agency Wide											
ALL.01	1.1.057	Transitory Information	Records of temporary usefulness that are not an integral part of a records series within an agency's record keeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an on-going records series. Some examples, which can be in any medium are: routine messages, telephone message notifications, internal meeting notices, routing slips, incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation of a specific agency transaction.	AC				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 or in records disposition logs, but agencies should establish procedures governing disposal of these records as part of its records management plan.	

Retention Codes (field 7)

AC – See event trigger for specific records series definition
 AV – Administratively valuable
 CE – Calendar year end

FE – Fiscal year end

LA – Life of Asset

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Central Administration											
CA.01	1.1.006	Complaint Records	Complaints received by TBVME from the public concerning the agency and records pertaining to the resolution of the complaint.	AC	2			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	
CA.02	1.1.007	Correspondence-Administrative	Incoming/outgoing and internal correspondence, pertaining to the formulation, planning, implementation, interpretation, modification, or redefinition of the programs, services, or projects, and procedures that govern them. (Does not include Enforcement Correspondence)	4					R	ARCHIVES NOTE: Only the administrative correspondence of executive staff, board of commission members, division directors and program heads require archival review. Contact the State Archives when these records have met their retention period. 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.	
CA.03	1.1.008	Correspondence - General	Non-administrative incoming/outgoing and internal correspondence, in any media, pertaining to or arising from the routine operations of the policies, programs, services, or projects of an agency, general inquiries, and requests for materials (does not include public information requests)	2						See comment to item number 1.1.007. See also item number 1.1.010	
CA.04	1.1.010	Directives	Any document that officially initiates, rescinds, or amends general office procedures	US	1						
CA.05	1.1.011	Executive Orders	Any document that initiates, rescinds, or amends a regulation, policy, or procedure that governs the programs, services, or projects of an agency.	US	3				A		

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CA.06	1.1.013	Calendars, Appointment Books 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 agency officials or employees.	CE	1				R	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. 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 OAG.	
CA.07	1.1.014	Legal Opinions and Advice	From agency legal counsel or the Attorney General, including any requests eliciting the opinions.	AV					R	CAUTION: Does not include legal opinions or advice rendered on a matter in litigation or with regard to pending litigation. SEE item number 1.1.048	
CA.08	1.1.019	Public Relations Records	News, press releases, or any public relations files maintained or issued by an agency. Includes print, electronic, audio, and audiovisual records.		2				R		
CA.09	1.1.020	Public Information Requests - Not Exempted	Includes all correspondence and documentation relating to request for records that are furnished to the public under Public Information Act (Chapter 552, Government Code)	AC	1			Date request filled			
CA.10	1.1.021	Public Information Requests - Exempted	Includes all correspondence and documentation relating to requests for records that are exempt under exceptions to the Public Information Act (Chapter 552, Government Code)	AC	2			Date of notification that records are exempt			
CA.11	1.1.023	Organization Charts		US					A		

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					Years	Months	Days				
CA.12	1.1.027	Proposed Legislation	Drafts of proposed legislation and related correspondence	AV							
CA.13	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			Date of publication in the Texas Register			
CA.14	1.1.038	Customer Surveys	Surveys returned by the customers or clients of TBVME, and the statistical data maintained rating the agency's performance.	AC				Final disposition of summary report.		See item number 1.1.067 for summary reports compiled from customer surveys	
CA.15	1.1.040	Speeches, Papers and Presentations	Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC				End of term in office or termination of service in a state position	R		
CA.16	1.1.055	Strategic Plans	Information Resources and operational strategic plans prepared in accordance with §§2054.095 and 2056.002, Government Code.	AC	6			September 1, of odd numbered calendar years.	A	Archival requirement met by sending copies to the Texas State Publications Depository Program TSLAC.	
CA.17	1.1.058	Meeting Agendas 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	Agency retains permanent record copy. The archival requirement is met by sending a copy to the Archives and Information Services Division TSLAC. Includes microfilmed or digitally imaged files.	
CA.18	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			The date of the meeting or completion of pending action involving the meeting, whichever is later			Government Code 551.104(a)

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					Years	Months	Days				
CA.19	1.1.060	Meetings, Audio/Video Tapes of Open meetings	Audio or videotapes of open meetings of state boards, commissions, committees and councils	AC			90	Official approval of written minutes of meeting by the governing body of 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	
CA.20	1.1.062	Meetings - Support 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		
CA.21	1.1.067	Reports and Studies (Non-Fiscal)	Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.		3				R	ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, A, R, or E. SEE page ix for more information.	
CA.22	1.1.068	Reports on Performance Measures	Quarterly and annual reports on agency performance measures submitted to the executive and legislative budget offices.	AC	6			September 1 of odd numbered calendar years			

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					Years	Months	Days				
CA.23	1.1.070	Rules, Office Policies, Veterinary Licensing Act - 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 that sets out the rules, policies, and procedures that govern the agency's programs, services, or projects	AC	3		R	Completion or termination of program, rules, policies, or procedures.			
CA.24	1.1.071	Rules, Office Policies, Veterinary Licensing Act - Working Papers	Working files used in the development of manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by the agency that sets out the rules, policies and procedures that govern the agency's programs, services or projects.	AC	3			Completion or termination of program, rules, policies, or procedures.	R		
CA.25	1.1.072	Public Information Reports	Reports made to the OAG on an agency's Public Information Act activities		2						
CA.26	1.1.073	Administrative Hearings	Transcripts and final decisions of hearings conducted as part of the regulatory process, and hearings on proposed rule changes. The records may be maintained with related information including meeting notices, proofs of publication, and meeting minutes.	AC	3			Last action	R	Includes adoption of PFDs.	
CA.27	1.1.074	Sunset Review Report and Documentation		AC	3			After subsequent Sunset Review	R		
CA.28	1.2.001	Destruction Authorizations	Agency level documents authorizing final disposition of records under a certified records retention schedule	FE	3						

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					Years	Months	Days				
CA.29	1.3.001	State Publications	Newsletter - Board Notes, except a publication that is subject to a different retention schedule.	AC	2			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). 1	
CA.30	1.3.002	Publication Development Files	Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. this includes all work performed both inside and outside the agency	AV					R		
CA.31	5.1.004	Mail and Telecommunications Listings	Any mailing address, telephone or fax number, or e-mail address records maintained by an agency on its employees or on entities or persons it serves.	US							

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					Years	Months	Days				
CA.32	1.1.064	Agency Performance Measures Documentation	Any records needed for documentation of output, outcome, efficiency, and explanatory measures in TBVME's appropriations request or strategic plan, and for performance measures used to manage TBVME.	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.	
CA.33	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	Approval of the formal minutes by the governing body			
CA.34	5.1.014	Office Procedures	Any internally distributed manual, guidelines, or similar records that establish standard office procedures for an agency, for example, agency style manuals, telephone protocols, mail room procedures, print shop and photocopy ordering instructions.	US	1						
CA.35	1.1.053	Registration Logs	Logs or similar records used to register persons appearing before state agencies as required by Chapter 2004, Government Code, including quarterly reports filed with the Texas Ethics Commission.	AC				Report filed with the Texas Ethics Commission			
CA.36	5.2.026	Facilities Reservation Logs	Reservation logs or similar records relating to the use of agency facilities such as meeting rooms, auditoriums, etc.		2					Records are entered and maintained in Texas Facilities Commission in the <u>conference room reservation system</u> .	
CA.37	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	
CA.38	1.1.066	Reports - Biennial or Annual Agency (Narrative)	Biennial narrative reports to the governor and legislature as required by an agency's enabling statutes, including annual narrative reports if they are required by statute.	AC	6			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. TSLAC	

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Fiscal Accounting											
FA.01	1.1.002	Audits	Audits and reviews performed by or on behalf of an agency, including the working papers that support the audit. Also includes audits performed on the agency.	AC	7			Publication or release of final audit findings.		The State Auditor's Office retains any copies of its audits performed on Texas state agencies.	
FA.02	1.1.004	Legislative Appropriation Requests	Including any supporting documentation created and/or used to justify and support legislative appropriations requests by an agency.	AC	6			September 1 of odd-numbered calendar years.	A	ARCHIVES NOTE: The archival requirement is met by sending the required copies to the Texas State Publications Depository Program, TSLAC. Only copies of supporting documentation submitted to the Legislative Budget Board are archival.	
FA.03	1.1.024	Plans and Planning Records	Plans and records relating to the process of planning new or redefined programs, services, or projects of TBVME that are not included in or directly related to other records series in this schedule (Biennial Operating Plan)	AC	3			Decision made to implement or not to implement result of planning process	R	ARCHIVES NOTE: Data processing planning records are not archival.	
FA.04	3.1.035	Performance Bonds	Bonds posted by employees and individuals or entities under contract with TBVME for the performance of the duties of a position or the terms of a contract with the agency. a) Executed, renewed, or amended on or after September 1, 2015.	AC	7			Expiration or termination of the bond according to its terms		Government Code 441.1855	
FA.04a	3.1.035	Performance Bonds	b) Executed, renewed, or amended on or before August 31, 2015.		4			Expiration or termination of the bond according to its terms		Government Code 441.1855	
FA.05	4.1.001	Accounts Payable Information		FE	3						
FA.06	4.1.002	Billing Detail		FE	3					CAUTION: Does not include long distance telephone billing detail	
FA.07	4.1.003	Canceled Checks/Stubs/Warrants/Drafts		FE	3						

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FA.08	4.1.004	Encumbrance Detail		FE	3						
FA.09	4.1.005	Inventory and Other Cost Files	Production, job, labor, quotes, pricing, specifications, etc.	FE	3						
FA.10	4.1.007	Transfers or Budget Revisions		FE	3						
FA.11	4.1.008	Electronic Fund Transfers	Direct Deposit Registers	FE	3						
FA.12	4.2.001	Cash Deposit Vouchers	Cash deposit slips	FE	3						
FA.13	4.2.002	Cash Receipts	Includes receipts for fees (permits, licenses, renewals, etc.	FE	3						
FA.14	4.2.003	Daily Cash Receipt Logs		FE	3						
FA.15	4.2.005	Purchase Vouchers	Includes requisitions, orders, receiving reports, invoices or statements, change orders, best value determinations, etc.	FE	3						
FA.16	4.2.006	General Journal Vouchers		FE	3						
FA.17	4.2.007	Expenditure Vouchers	Travel, payroll, etc.	FE	3					Includes required receipts	
FA.18	4.3.002	Receipts Journals or Registers		FE	3						
FA.19	4.3.003	Expenditures Journals or Registers		FE	3						
FA.20	4.4.001	General Ledger		FE	3						
FA.21	4.4.002	Accounts Receivable Ledgers		FE	3						
FA.22	4.4.003	Accounts Payable Ledgers		FE	3						
FA.23	4.5.001	Worksheets for Preparing Fiscal Reports		FE	3						
FA.24	4.5.002	Internal Fiscal Management Reports	Includes monthly budget reports	FE	3						
FA.25	4.5.003	Annual Financial Report	Required by the GAA (100 Day Report)	AC	6			September 1 st of odd numbered calendar years	A	Copies to Texas State Publications Depository Program, TSLAC	
FA.26	4.5.005	External Fiscal Reports	Special purpose - i.e. federal financial reports, salary reports, etc. Includes HUB reports	FE	3						
FA.27	4.5.006	Annual Operating Budget	Required by GAA	FE	3						
FA.28	4.5.007	USAS Reports - Daily		AC				Receipt and reconciliation of monthly report			

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FA.29	4.5.008	USAS Reports - Monthly		AC				Receipt and reconciliation of monthly report			
FA.30	4.5.009	USAS Reports - Annual		FE	3						
FA.31	4.6.002	Reconciliations	Includes USAS/ABEST	FE	3						
FA.32	4.7.001	Accounting Policies & Procedures Manual		US	3						
FA.33	4.7.002	Bank Statements		FE	3						
FA.34	4.7.003	Return Check Vouchers/Warrants/Drafts (Uncollectible)		AC	3			After deemed uncollectible			
FA.35	4.7.004	Capital Asset Records		LA	3						
FA.36	4.7.006	Comptroller Statements		FE	3						
FA.37	4.7.007	Detail Chart of Accounts	One for all accounts in use for a fiscal year	FE	3						
FA.38	4.7.011	Texas Facilities Commission Statements (TFC)	Charge or bill statements received by agencies from the TFC for services provided	FE	3						
FA.39	4.7.012	Signature Authorizations	Signature cards or similar records establishing authority of an agency employee to initiate or authorize financial transactions on behalf of TBVME.	US+ FE	3						
FA.40	5.1.005	Postage Expense Records		FE	3						
FA.41	5.2.021	Surplus Property Sale Records		FE	3						
FA.42	5.3.007	Bid Documentation	Includes bid/requisition/authorizations, invitations to bid or propose, bid specifications, accepted and rejected bids, and bid tabulation/evaluations								
			a) Associated with a contract executed, renewed, or amended on or after September 1, 2015	AC	7			Expiration or termination of the instrument according to its terms or decision not to proceed with the bid.			
			b) Associated with a contract executed, renewed, or amended on or before August 31, 2015.	FE	3						

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Records Retention Schedule

1. Agency Code: 578			2. Agency Name: Texas Board of Veterinary Medical Examiners								
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					Years	Months	Days				
			c) Unsuccessful bids that do not meet agency submission requirements and are not included in bid evaluation process (e.g. withdrawn, missed submission deadline, incomplete submission, etc.)	AC	2			Date of notification of denial or date of withdrawal, as applicable			
FA.43	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						
FA.44	5.3.009	Requests for Information	Requests for information preliminary to the procurement of goods or services by direct purchase or bid.	AC				Decision not to proceed with the procurement.		CAUTION: If the request for information leads to a request for proposal or bid, the request for information documentation should be retained in accordance with item number 5.3.007	
FA.45	F	Billing Detail - Telecommunications (other than TEX-AN)		FE	3					SEE item number 5.5.006	
FA.46	5.5.006	Billing Detail - Telecommunications (TEX-AN)		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	
FA.47	4.2.004	Encumbrance Vouchers	Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE	3						
FA.48	4.7.009	Fixed Asset Sequential Number Logs		US	3						
FA.49	5.2.023	Year-to-Date Activity (Inventory Listing)	Shows additions, changes, transfers, and deletions of information within the inventory system. Data includes agency, division, tag number, batch, document, transaction date, location, item code, description, date, and cost	FE	3						

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FA.50	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						

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					Years	Months	Days				
Human Resources											
HR.01	1.1.043	Training Materials	Instructional materials developed by TBMVE for training entities or individuals it regulates or serves.	US	1						
HR.02	1.1.056	ADA (Americans with Disabilities Act) Documentation	Self-evaluations and plans documenting compliance with the requirements of ADA		3						28 CFR 35.105(c)
HR.03	3.1.001	Applications for Employment Not Hired	Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant position is required on the application form, by application procedures, or in the employment advertisement.		2			Date job posting closed			29 CFR 1602.31 [State Agencies]
HR.04	3.1.002	Applications for Employment Hired	Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant position is required on the application form, by application procedures, or in the employment advertisement.	AC	5			Termination of employment		Once imaged, images are stored electronically, paper is destroyed and this becomes part of Records Item Number HR.42. Documents are retained in personnel file.	
HR.05	3.1.006	Employee Counseling Records	Notes, memoranda, or reports relating to the counseling of an employee for work-related, personal, or substance abuse problems.	AC	5			Termination of employment		It is the agency policy to keep longer than the TSLAC minimum. Documents retained in Supervisor file.	
HR.06	3.1.011	Employee Insurance Records	Agency copies of information relating to the selection by employees of life, disability, health, and other types of insurance offered by the State of Texas to its employees	AC				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	
HR.07	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 [State Agencies]

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					Years	Months	Days				
HR.08	3.1.014	Employment Selection Records	Includes notes of interviews with candidates, questions asked of applicants, audio or videotapes of interviews, driving record and previous injury checks, pre-employment physical examinations, pre-employment drug screening test results, polygraph examination results, and all other records that document the selection process.		2					Does not include Criminal History Checks, See item number 3.1.026	29 CFR 1602.31 [State Agencies]
HR.09	3.1.018	Grievance Records	Review of employee grievances against personnel policies, working conditions, etc.	AC	2			Final decision on grievance		CAUTION: Does not include complaints filed with the Equal Employment Office (EEO) of the U.S. Department of Labor.	
HR.10	3.1.019	Performance Appraisals		AC	5			Termination of employment		It is the agency policy to keep longer than TSLAC minimum. Documents retained in <u>personnel file.</u>	29 CFR 1620.32(c)
HR.11	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			Termination of employment		CAUTION: If, during the retention period of this records series, any part of this series is used 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. Documentation is retained in personnel file.	

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					Years	Months	Days				
HR.12	3.1.021	Disciplinary Action Documentation	Disciplinary actions are those which may affect pay, status, or tenure. They are imposed to discipline an employee whose conduct is harmful to the best interests of the state, the agency, or the employee work force; and for failure to improve performance or conduct following imposition of corrective action. May include cause for demotion, suspension, or dismissal, and the reasons for failure to give written notice of resignation. May also be used to document evidence of employee self-improvement efforts, as well as favorable and unfavorable communication.	AC	5			Termination of employment		Documentation is retained in personnel file	
HR.13	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.		5					It is agency policy to keep longer than TSLAC minimum. Documentation is retained in personnel file	29 CFR 1620.31 [State Agencies]
HR.14	3.1.023	Position/Job Description	Job descriptions, including all associated task or skill statements, for positions in an agency.	AC	4			Until superseded or job eliminated			40 TAC 815.106(i)
HR.15	3.1.026	Criminal History Checks	Criminal history record information on contractors for Information Technology services, job applicants or agency employees obtained from the Department of Public Safety (DPS)	AC	5			Termination of employment		Documentation is retained in personnel file	
HR.16	3.1.027	Training & 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			Termination of employment		Documentation is retained in personnel file	

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					Years	Months	Days				
HR.17	3.1.029	Employment Eligibility, Documentation or Verification of	Federal Reporting form (I-9 and E-Verify report)	AC	5			Termination of employment		It is agency policy to keep longer than TSLAC minimum. Documentation is retained in personnel file. CAUTION: Federal regulation requires that INS I-9 forms be retained for 3 years from date of hire or 1 year after separation of the employee, whichever later.	8 CFR 274a.2(b)(2)(i)(A) and (c) 2
HR.18	3.1.031	Employee Benefits - Other than Insurance	Agency copies of information relating to the selection of available benefit options other than insurance.	AC	2			Until superseded or termination of employment.			
HR.19	3.1.034	Resumes Unsolicited	Retention period applies if the agency replies to the sender of a resume that it will be kept on file should future job openings occur.	AV							
HR.20	3.1.037	Employee Recognition Records	Awards, incentives, tenure, etc.	AC	5			Termination of employment		Documentation is retained in personnel file	
HR.21	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						Retained in separate file and in electronic HRIS database	
HR.22	3.3.001	Affirmative Action Plans	Affirmative action plans for both regular employees and apprenticeship programs		5						29 CFR 30.8(e) for apprenticeship plans
HR.23	3.3.010	Labor Statistics	Reports providing statistical information on labor force		3						
HR.24	3.3.011	Former Employee Verification Records	Minimum information needed to verify employment, includes name, social security number, exact dates of employment and last known address, and most recent Public Access Option form	AC	75			Termination of employment		See item 3.1.038. Required information is maintained in electronic HRIS database	
HR.25	3.3.015	Position/Job Classification Review File	Records relating to review and monitoring of job classifications within an agency.	US	3						

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					Years	Months	Days				
HR.26	3.3.020	Work Schedules/Assignments	Work, duty, shift, crew, or case schedules, rosters or assignments	US	1						
HR.27	3.3.022	TWC Quarterly Reports	Any reports required to be sent to TWC		3						
HR.28	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						
HR.29	3.3.024	Personnel Policies and Procedures	Internally distributed manuals, guidelines, or similar records that define agency wide policies and procedures concerning the <u>personnel of an agency</u> .	US	3						
HR.30	3.3.025	Job Procedure Records	Any documents detailing the procedural duties and responsibilities of agency positions on a <u>position-by-position basis</u> .	US	3						
HR.31	3.3.026	Agency Staffing Reports	Any reports compiled on aspects of personnel staffing, including listings of all staff by program or name, staff hired during a month, detailed listings of employees within its organizational structure, position vacancies, analyses of turnover rates and seasonality of employment, etc.	US	3						
HR.32	3.3.027	Aptitude and Skills Tests	Tests required of job applications 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	29 CFR 1602.31 [State Agencies]
HR.33	3.3.028	Aptitude and skills Tests (Test Papers)	Test papers of job applicants or of current personnel taking a test to qualify for a <u>promotion or transfer</u> .								29 CFR 1602.31 [State Agencies]

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HR.34	3.3.030	Training Administration Records	Instructional materials and other records associated with in-house training of TBVME personnel on personnel policies and procedures and other policies and procedures that govern an agency's programs, services, or projects	US	2						
HR.35	3.3.031	EEO Reports and Supporting Documentation	Includes documentation used to complete EEO reports		3						29 CFR 1602.32, 1602.39, 1602.41, 1602.48, and 1602.50
HR.36	3.3.004	Benefit Plans Package	Employee benefit plans such as pension; life, health, and disability insurance; deferred compensation; etc., including amendments.	US	1						29 CFR 1627.3 (b)(2)
HR.37	5.6.004	License and Driving Records Checks		AC				Until superseded or until termination of employment			
HR.38	5.6.009	Parking Permits or Assignments		US							
HR.39	3.1.024	Physical Examinations/Medical Reports	Medical or physical examination reports or certificates of employees for whom periodic monitoring of health or fitness is required.	AC	2			Until superseded or termination of employment		CAUTION: Does not include pre-employment physical examinations. Documentation retained in a separate employee medical file.	
HR.40	3.3.004	Benefit Plans	Employee benefit plans such as pension; life, health, and disability insurance; deferred compensation; etc. including amendments.	US	1						29 CFR 1627.3(b)(20)
HR.41	3.1.039	Ombudsman Records	Consultation records, notes, letters, memos, emails, reports and other documentation.	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 in the appropriate records series.	
HR.42		Terminated Employee Records		AC	5			Termination of employee.			

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Investigations											
IN.01		Investigation Files - Active		AC				Until investigative process is complete.		These become either series number IN.02 or LG.01.	
IN.02		Investigation Files - Closed		AC	10			Resolved by final board action or closed to no violation		Includes complaint closing data sheets.	
IN.03		Enforcement Reference Files		AV							
IN.04		Enforcement reports and studies work papers		AV							
IN.05		Compliance Inspection by Mail Documentation			1						
IN.06		Enforcement Division Policies and Procedures		US	3						

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Information Resources Management											
IT.01	2.1.007	Software Programs	Automated software applications and operating system files including job control language, program listing/source code, etc.	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 required the software to be retrieved and read		CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.	13 TAC 6.94
IT.02	2.1.008	Hardware Documentation	Records documenting operational and maintenance requirements for computer hardware such as operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems	AC				Until electronic records are transferred to and made usable in a new hardware environment or there are no electronic records being retained to meet an approved retention period that require the hardware to be retrieved and read		CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.	13 TAC 6.94

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IT.03	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 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				Until electronic records are transferred to and made usable in a new hardware or software environment with new documentation or there are no electronic records being retained to meet an approved retention period that require the documentation to be retrieved and read.		CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.	13 TAC 6.94
IT.04	2.1.011	Finding Aides, Indexes and Tracking Systems	Automated indexes, lists, registers, and other finding aids used to provide access to records.	AC				Related records have been destroyed		CAUTION: These records must carry the same retention period and archival code of the records they support.	
IT.05	2.2.010	Data Processing Policies and Procedures	Manuals, guidelines, or similar documents establishing data processing policies and procedures in an agency in such areas as access and security, systems development, data retention and disposition, data ownership, production control, system back-up, etc.	US	3						
IT.06	2.2.016	Software Registrations, Warranties, and License Agreements		LA	3						

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IT.07	2.1.010	Audit Trail Records	Files needed for electronic data audits such as files or reports showing transactions accepted, rejected, suspended, and/or processed; history files/tapes; records of on-line updates to application files or security logs.	FE	3					Data is stored electronically on a secured agency server and retention is based on recommendation (made on 5/8/2012) of the State Auditor's Office (SAO) to follow the retention period for supporting documentation of performance measures. The SAO further recommended that should the stored data become too voluminous and interfere with normal operating processes, retention period should be	
IT.08	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				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.			

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Litigation											
LG.01	1.1.048	Litigation Files - Active	Records created by or on behalf of an agency in anticipation of or in the adjudication of a lawsuit, including IC, Staff Conference, SOAH, Pending SOAH, District Court, etc.	AC	1			Until litigation process is complete. These become LG.02 OR LG.03.	R	ARCHIVES NOTE: Cases that set legal precedent or exhibit historical value will be evaluated by the Archives and Information Services Division of TSLAC for archival preservation.	
LG.02	1.1.048	Litigation Files - Closed - No Action		AC	6			Resolved by final board action and paper is imaged.			
LG.03	1.1.048	Litigation Files - Closed - Resulting in Orders	Complete case file. This will be referred back to for any future Disciplinary issues and historical value.	AC	50			Resolved by final board action and paper is imaged.	R	50 years is the average life span of a licensee.	
LG.04		Contested Case Exhibit Files		AC	50			Any Exhibits filed, entered or offered into evidence at State Office of Administrative Hearings (SOAH)	R	50 years is the average life span of a licensee.	
LG.05		Litigation Files		AC	2			As applicable, decision of an agency not to file a lawsuit or decision that a lawsuit will not be filed against it on a matter; dismissal of a lawsuit for want of prosecution or on a motion of the plaintiff; or final decision of a court (or of a court on appeal, if applicable) in a lawsuit.	R	It is agency policy to keep longer than TSLAC minimum. ARCHIVES NOTE: Cases that set legal precedent or exhibit historical value will be evaluated by the Archives and Information Services Division TSLAC.	
LG.06		Peer Assistance Reports - Licensees			1						
LG.07	1.1.075	Alternative Dispute Resolutions - Final Agreement	Final agreement described by Government Code 2009.054(c), associated with a matter conducted under an alternative dispute resolution procedure in which personnel of a state agency participated as a party on the agency's behalf	AC	4			Date of final agreement			TCPR, Chapter 154.071

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Licensing											
LI.01		Licensee Files - microfiched		PM						Output to microfiche. Some information contained in these files may be confidential according to state and federal law.	
LI.02		Licensee Files - digitally imaged		PM						Digitally imaged – scanned by Neubus and images stored electronically. Some information contained in these files may be confidential according to state and federal law.	
LI.03		Licensee Files - active		AC	2			Upon cancellation or death		Agency keeps fiche/digital image, original film stored in Libr. Records released in accordance with Open Records & Vet. Lic. Acts. Some information contained in these files may be confidential according to state and federal law. Then becomes LI.04 or LI.05.	
LI.04		Licensee Files - cancelled		AC	5			Cancellation date		Agency keeps fiche/digital image, original film stored in Libr. Records released in accordance with Open Records & Vet. Lic. Acts. Some information contained in these files may be confidential according to state and federal law. Then becomes LI.04 or LI.05.	
LI.05		Licensee Files - deceased		AC	2			Date of death		Agency keeps fiche/digital image, original film stored in Libr. Records released in accordance with Open Records & Vet. Lic. Acts. Some information contained in these files may be confidential according to state and federal law. Then becomes LI.04 or LI.05.	

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Records Retention Schedule

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					Years	Months	Days				
LI.06		Licensing Examination Files by Date Administered		5						Agency keeps 5 years in hard copy. Records 5+ years are filmed/digitally imaged. Agency keeps copy of fiche and library keeps original film. Some information contained in these files may be confidential according to state and federal law.	
LI.07		Microfilmed Licensing Examination Files by Date Administered		PM						Files 5+ years filmed/digitally imaged, hard copy shredded. Agency keeps fiche/digital images.	
LI.08		Unused Renewal Certificates and Disposition Log		AC	1						
LI.09		Log of Licensees		PM						License issuance book	

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Payroll											
PA.01	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	5			After termination of employment or after amendment, expiration, or termination of authorization, whichever is sooner.		It is agency policy to retain records longer than the state minimum.	
PA.02	3.2.002	Employee Earnings Records			4					Includes per diem and staff payrolls	40 TAC 815.106(i)
PA.03	3.2.003	Federal Tax Records	Includes 1099, W2, FICA, and other tax records	AC	4			Tax due date, date the claim is filed, or date tax is paid, whichever is later			26 CFR 31.6001-1(e)(2) (USPS)
PA.04	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						29 CFR 516.6(c)
PA.05	3.2.005	W-4 Forms	Employer's copy of "Employees' Withholding Exemption Certificate"	AC	5			Termination of employment.		It is agency policy to retain records longer than the state minimum.	26 CFR 31.6001-1(e)(2)
PA.06	3.2.006	Wage Rate Tables (Classified Employees)			2						29 CFR 516.6(a)(2)
PA.07	3.2.007	Unemployment Compensation Records		AC	5			After completed			
PA.08	3.2.008	Direct Deposit Application/Authorization		US							
PA.09	3.2.009	State Deferred Compensation Records		AC	5			All accounts with a vendor or vendors for the individual participant have been closed			
PA.10	3.2.010	Human Resources Information System (HRIS) Reports	Includes supporting documentation	AC	4			After close			

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Records Management											
RM.01	1.2.005	Records Retention Schedule (SLR 105)	Agency copy, formerly RMD105	US						Original retained by SLRM Division TSLAC	
RM.02	1.2.006	Records Transmittal Forms	Agency copy (includes RMD101, Tx-R-5, 306-58-1, and Agency Storage Forms).	AC	2					Date of authorization for destruction, permanent transfer from storage, or transfer to the Archives and Information Services Division, TSLAC, by the agency RMO	
RM.03	1.2.008	Request for Authority to Dispose of State Records (RMD102)	Agency copy	FE	3					Original is retained by the State and Local Records Management Division, TSLAC.	
RM.04	1.2.010	Records Disposition Log	Logs or similar records listing records destroyed or transferred to the Archives and Information Services Division, TSLAC, showing records series title, dates of records and date destroyed or transferred.	10							
RM.05	1.2.011	Records Center Storage Approval Forms (RMD106)	Agency copy	US							
RM.06	1.2.014	Records Management Plans	Records management plans and similar records that establish the policies and procedures under which records and <u>information are managed in an agency.</u>	US	1						
RM.07	1.2.003	Forms History File	Print masters of original version and all subsequent revisions to an agency form, including any associated design or design <u>modification requests</u>	AC	1			Discontinuance of use of form			
RM.08	1.2.004	Forms Inventory	Any periodic listing of all forms used internally or externally by an agency.	US							
RM.09	1.2.012	Records Inventory Worksheets		US							

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Staff Services											
SS.01	3.4.001	Accumulated Leave Adjustment Requests	Used to create employee leave balances, transfer leave balances when an employee transfers positions, adjust carry-over balances on August 31, to correct errors on leave accumulation, and close out leave accounts on separated employees	FE	3						
SS.02	3.4.002	Leave Status Reports	Cumulative report is issued each pay cycle and provides employee leave status information for each position	FE	3						
SS.03	3.4.004	Overtime Authorizations			2						
SS.04	3.4.006	Time Cards and Time Sheets			4						40 TAC 815.106(i)
SS.05	3.4.007	Time Off and/or Sick Leave Requests		FE	3						
SS.06	3.4.008	Sick Leave Pool Documentation		FE	3						
SS.07	1.1.041	Suggestion System Records	Suggestions submitted by agency personnel and responses		1						
SS.08	1.1.063	Staff Meeting Minutes and Notes	Minutes or notes, and supporting documentation, taken at internal agency staff meetings		1						

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Support Services											
SU.01	5.1.001	Contracts & 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. a) Executed, renewed, or amended on or after September 1, 2015	AC	7			Expiration or termination of the instrument according to its terms			Government Code 441.1855
SU.01a			b) Executed, renewed, or amended on or before August 31, 2015.	AC	4			Expiration or termination of the instrument according to its terms			
SU.02	5.2.008	Equipment History File; Equipment Service Agreements	Agreements or contracts between TBVME and equipment vendor to provide maintenance service for equipment. Includes requests for installation, moves, service, etc.; and service/repair logbooks, etc.	LA	3						
SU.03	5.2.009	Equipment Inventory Detail Report Forms	Updates agency portion of the inventory and adds changes, transfers, or deletes items from inventory	FE	3						
SU.04	5.2.010	Equipment Manuals		LA							
SU.05	5.2.011	Equipment Warranties		AC	1			Expiration of warranty.		It is agency policy to keep longer than TSLAC minimum.	
SU.06	5.2.014	Inventory - Annual Physical	Property, equipment, supply verification	FE	3			includes property acquisitions, changes, deletions and monthly reconciliations			
SU.07	5.2.027	Space Utilization Reports		AV							
SU.08	5.4.001	Accident Reports and Associated Documentation	Associated reports required to be submitted to the Texas Department of Insurance or its predecessors or maintained internally on accident frequency	CE	5					The Texas Department of Insurance retains copies of reports submitted to it for 50 years.	29 CFR 1904.33
SU.09	5.4.002	Evacuation Plans	Plans for the evacuation of agency facilities in case of an emergency.	US							

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SU.10	5.4.003	Inspection Records	Fire safety, and other inspection records of agency facilities and equipment.	AC	3			Inspection, or date of the correction of the deficiency if the inspection report reveals a deficiency			
SU.11	5.4.004	Fire Orders	Orders issued by Fire Marshal to correct deficiencies in compliance with the fire code	AC	3			Deficiency corrected			
SU.12	5.4.007	Hazardous Materials Safety Training Records	Records of training given employees in an agency hazard communications program.		5						Texas Health and Safety Code 502.009(g)
SU.13	5.4.011	Visitor Control Registers	Logs, registers, or similar records documenting visitors to limited access or restricted areas of agency facilities .		3						
SU.14	5.4.012	Security Access Records	Issuance of keys, identification cards, building passes, passwords, or similar access to agency facilities or equipment	AC	2			Until superseded, date of expiration, or date of termination, whichever is sooner			
SU.15	5.4.013	Disaster Preparedness and Recovery Plans		US							
SU.16	5.2.004	Building Space Requests			1						
SU.17	5.2.006	Property Destruction, Certificates of		FE	3						
SU.18	5.2.007	Damage Reports	Reports of damage to state property	FE	3						
SU.19	5.2.017	Lost & Stolen Property Reports		FE	3						
SU.20	5.4.008	Hazard Communication Plans		US	5						Texas Health and Safety Code, 502.009(g)

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AIN Legend and Acronyms Used											
ALL.01 - ALL.01		Agency Wide Records									
CA.01 - CA.38		Central Administration Records*									
FA.01 - FA.49		Fiscal/Accounting Records*									
HR.01 - HR.42		Human Resources Records*									
IN.01 - IN.07		Investigations Records*									
IT.01 - IT.07		Information Resources Management Records									
LG.01 - LG.10		Litigation Records*									
LI.01 - LI.09		Licensing Records*									
PA.01 - PA.10		Payroll Records*									
RM.01 - RM.06		Records Management Records									
SS.01 - SS.06		Staff Services Records*									
SU.01 - SU.20		Support Services Records*									

*Some items within these records series may be considered confidential, please consult with the Public Information Officer or General Counsel prior to releasing information.

Acronyms Used:		IC	Informal Conference
SOAH	State Office of Administrative Hearings	TSLAC	Texas State Library and Archives Center
TBVME	Texas Board of Veterinary Medical Examiners	OAG	Office of the Attorney General
SRC	State Records Center	SLRM	State and Local Records management
PFD	Proposal for Decision	TWC	Texas Workforce Commission
USPS	Uniform Statewide Payroll/Personnel System	HUB	Historically Underutilized Business
GAA	General Appropriations Act	ABEST	Automated Budget and Evaluation System for Texas
USAS	Uniform Statewide Accounting System		
SAO	State Auditor's Office		

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