

STATE OF TEXAS Records Retention Schedule

SLR 105
Form SLR 105C must
accompany this form.

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Approved: 1/21/2009

2. Agency Code - 530 3. Agency Name - Department of Family and Protective Services

4. Record Series	5. Agency	6. RECORD SERIES TITLE	7. RETENTION PERIOD			8. Archival 9. Remarks	10. 106 No.	11. TSLAC ONLY Amend.
			Agency	Storage	Total			
01 AGENCY WIDE - ALL DIVISIONS								
1.1	3031	Tracking Records - Activity	AV		AV	Must maintain a minimum of 1 year.		
1.1.006	3032	Complaint Records Complaints received by an agency from the public concerning the agency and records pertaining to the resolution of the complaint.	AC+2		AC+2	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 Litigation Records.		
1.1.007	3033	Administrative Correspondence (Incoming/outgoing and internal, incoming/outgoing and internal, confidential or sensitive correspondence, in any format, pertaining to the formulation, planning, implementation, interpretation, modification, or redefinition of the programs, services projects, and administrative regulations of the agency.	FE	3	FE+3	R CAUTION: This records series and General Correspondence should be used only for correspondence that is not included in or directly related to another records series in this schedule.	93-530-013	
1.1.008	3034	General Correspondence Non-administrative incoming/outgoing and internal correspondence, in any media, pertaining to or arising from the routine operations of the policies, programs, services, or projects of the agency.	1		1	CAUTION: This record series and record series Administrative Correspondence should be used only for correspondence that is not included in or directly related to another records series in this schedule.		
1.1.010	3035	Directives Any document that officially initiates, rescinds, or amends general office procedures.	US+1		US+1			

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			Agency	Storage	Total			
01 AGENCY WIDE - ALL DIVISIONS								
1.1.013	3036	Desk Calendars/Appointment Books Desk calendars, appointment books, and similar records, purchases with state funds, that document appointments, itineraries, and other activities of an agency official or employee. 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.	CE+1		CE+1	R		
1.1.023	3037	Organization Charts	US		US	A		
1.1.024	3038	Plans and Planning Records Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC	3	AC+3	R	AC=Decision made to implement or not to implement the plan.	
1.1.038	3039	Customer Surveys Surveys returned by the customers or clients of an agency rating an agency's performance.	AC		AC		AC = Final disposition of summary reports.	
1.1.040	3040	Speeches and Papers Notes or text of speeches, papers, or reports delivered in conjunction with agency work.	AC + 2		AC + 2	R	AC=End of term in office or termination of service in a state position.	
1.1.041	3041	Suggestion System Records Suggestions submitted by agency personnel and responses.	1		1			
1.1.043	3042	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US +1		US + 1			

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01 AGENCY WIDE - ALL DIVISIONS								
1.1.053	3043	Registration Logs Logs used to register persons appearing before state agencies as required by Chapter 2004, Government Code, including quarterly reports filed with the Texas Ethics Commission.	AC		AC	AC=Report filed with Texas Ethics Commission.		
1.1.057	3044	Transitory Messages Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an on-going records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; telephone message notifications; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC		AC	AC=Communication purpose fulfilled; exercise caution in use. The disposal of transitory information need not be documented on destruction Form 4712/4706 sign-offs, or in records disposition log Form 4713.		
1.1.063	3045	Staff Meeting Minutes Minutes of internal agency staff meetings during which formal minutes are taken.	1		1			

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01 AGENCY WIDE - ALL DIVISIONS								
1.1.065	3046	Reports and Studies (Non-Fiscal) - Raw Data Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV		AV			
1.1.067	3047	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		3	R		
1.1.069	3048	Reports - Activity Reports compiled by agency personnel on a daily or other periodic basis pertaining to workload monitoring, task completion times, number of public contacts, and similar activities.	1		1			
3.1.039	3001 3001	Ombudsman Records Consultation records, notes, letters, memos, email, report and other documentation.	AC	2	AC + 2	AC=Final decision or matter closed.	95-530-030	
5.1.004	3050	Mail and Telecommunications Listings	US		US			
5.1.014	3051	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 photocopy ordering instructions.	US+1		US+1			

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			Agency	Storage	Total			
01 AGENCY WIDE - ALL DIVISIONS								
5.1.015	3052	Correspondence Tracking Records Any record created by an agency to track any type of incoming and outgoing correspondence or packages by the US Postal Service or by private couriers.	1		1			
5.4.011	3053	Visitor Control Registers Logs, registers, or similar records documenting visitors to limited access or restricted areas of agency facilities.	3		3			
5.4.012	3054	Security Access Records Records relating to the issuance of keys, identification cards, building passes, passwords, or similar instruments of access to agency facilities or equipment.	AC	2	AC+2	AC=Until superseded., date of expiration, or date of termination, whichever sooner.		
02 EXECUTIVE OFFICES								
1.1	3055	Executive Administrative Files	FE	10	FE+10		94-530-025	
1.1.058	3056	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		PM	A Executive Office maintains in hard copy for FE+2. Microfilm Master copy stored at the State Records Center, duplicate at agency. Hard copy transferred to State Archives after microfilming.	02-530-064	
1.1.059	3057	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+2	Texas Government Code, Section 551.104(a) AC=The date of the meeting or completion of pending action involving the meeting, whichever is later.		

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Series			Agency Storage Total				Amend.

02 EXECUTIVE OFFICES

1.1.060	3058	Board Audio and Videotapes or Meeting Notes of Open Meetings Audio or videotapes of open meetings of state boards, commissions, committees, and councils.	AC+90 Days		AC+90 Days	AC=Approval of written minutes by the governing body of agency. 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 redacted to writing.
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02 EXECUTIVE OFFICES - CENTER FOR CONSUMER AND EXTERNAL AFFAIRS - COMMUNICATION

1.1.019	3059	Press Releases News or press releases issued by the agency.	2		2	R
1.1.066	3060	Annual Agency Narrative Report (Non-Fiscal) Biennial narrative reports to the governor and legislature as required by an agency's enabling statutes, including annual narrative reports if they are required by statute.	AC	6	AC+6	A AC=September 1 of odd-numbered calendar years. Archival requirement met by sending copies to Texas State Library and Archives Commission, Texas State Publications Depository Program.
1.3	3061	Agency Historical Publication Files	AV		AV	
1.3.001	3062	Agency Publications Information in any format that is produced by the authority of or at the total or partial expense of a state agency or is required to be distributed under law by the agency, and is publicly distributed.	AC+2		AC+2	AC= Until superseded or obsolete. For serial publications issued in successive parts bearing numerical or chronological designations, from the date of release of the next part in the series. Copy to the Texas State Archives Commission, Government Code, Section 441.101.

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Series			Agency Storage Total				Amend.

02 EXECUTIVE OFFICES - CENTER FOR CONSUMER AND EXTERNAL AFFAIRS - COMMUNICATION

1.3.002	3063	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	AV	R
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02 EXECUTIVE OFFICES - CENTER FOR CONSUMER AND EXTERNAL AFFAIRS - CONSUMER AFFAIRS

1.1.043	3002	Training, Education, and Public Service Videos Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	US+1	
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02 EXECUTIVE OFFICES - CENTER FOR CONSUMER AND EXTERNAL AFFAIRS - GOVERNMENT RELATIONS

1.1.027	3003	Proposed Legislation Drafts of proposed legislation and related correspondence.	AV	AV	95-530-031
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02 EXECUTIVE OFFICES - CENTER FOR POLICY AND INNOVATION - POLICY INNOVATION

1.1.070	3006	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 an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC	5	AC+5	R	AC=Completion or termination of program, rules, policies or procedures. M=Microforms. Filmed after closed. Paper destroyed after filming. Microfiche = 1984-1996 Microfilm rolls - began 1997. Master stored at the State Records Center, duplicate stored at agency.	99-530-057
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Series			Agency Storage Total				Amend.

02 EXECUTIVE OFFICES - CENTER FOR POLICY AND INNOVATION - POLICY INNOVATION

1.1.071	3282	Agency Rules, Policies, and Procedures - Working Files	AC	5	AC+5	R	AC=Completion or termination of program, rules, policies or procedures.
<p>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 an agency that sets out the rules, policies, and procedures that govern any agency's programs, services, or projects.</p>							

02 EXECUTIVE OFFICES - CENTER FOR POLICY AND INNOVATION - TRAINING

1.1.043	3010	Training Material	US+1	5	US+1		
<p>Instructional materials developed by an agency for training entities or individuals it regulates or services.</p>							
3.3.030	3011	Training Administration Records	US	2	US+2		
<p>Instructional materials and other records associated with in-house training of agency personnel on personnel policies and procedures and other policies and procedures that govern an agency's programs, services, or projects. To include, registration database, class evaluation, sign-in rosters.</p>							

02 EXECUTIVE OFFICES - CENTER FOR PROGRAM COORDINATION - WORK AND TIME ANALYSIS

1.1.065	3012	Random Moment Time Study (Raw Data)	AV	5	AV+5		97-530-052
<p>Information or data collected and compiled for the purpose of producing non-fiscal reports.</p>							

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Record	Agency	RECORD SERIES TITLE	RETENTION PERIOD	Archival	Remarks	106 No.	TSLAC ONLY
Series			Agency Storage Total				Amend.

02 EXECUTIVE OFFICES - CENTER FOR PROGRAM COORDINATION - WORK AND TIME ANALYSIS

1.1.067	3013	Work Measurements and Time Studies Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or project 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.	1	2	3	R	96-530-033
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02 EXECUTIVE OFFICES - INTERNAL AUDIT

1.1.002	3014	Audits Audits and reviews performed by or on behalf of an agency, including the working papers that support the audit. Also includes audits performed on the agency.	AC+7		AC+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.
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03 CHIEF OPERATING OFFICER - CONTRACT OVERSIGHT & SUPPORT

	3015	Waivers State office procurement conflict of interest, other policy waivers	AC	5	AC+5	AC=Expiration/Termination of Contract
	3016	Single Audit Reports (SO)	AC	5	AC+5	AC=Expiration/Termination of contract Note: Due to HHSC consolidation, DFPS will no longer be responsible for this function effective 9/1/02. This record series needs to remain on the retention schedule until FY 2006.

03 CHIEF OPERATING OFFICER - INFORMATION RESOURCE MANAGEMENT

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Series			Agency Storage Total				Amend.

03 CHIEF OPERATING OFFICER - INFORMATION RESOURCE MANAGEMENT

2.2.013	3017	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, check of changes put into production, transaction histories and other records needed as an audit trail to evaluate data accuracy.	AC	AC	AC=No longer needed as an audit trail for any records modified.
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03 CHIEF OPERATING OFFICER - INFORMATION RESOURCE MANAGEMENT - APPLICATION DEVELOPMENT & MAINT

1.2.003	3098	Forms History Files Print masters of original version and all subsequent revisions to an agency form, including any associated design or design modification requests	AC+1	AC+1	AC=Form no longer used.
1.2.004	3020	Forms Inventory Any periodic listing of all forms used internally or externally by an agency.	US	US	

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Series			Agency Storage Total				Amend.

03 CHIEF OPERATING OFFICER - INFORMATION RESOURCE MANAGEMENT - APPLICATION DEVELOPMENT & MAINT

2.1.001	3021	Processing Files	AC	AC	AC=Completion of 3rd update cycle except for: a) Raw data input or source file which serves as basic source document in lieu, of textual or other source document, follow the retention period approved for the equivalent type of textual record or AV whichever is longer. b) Routine or benchmark data file used in testing a system or program, retain AV. c) File which facilitates processing of a particular job or system run, but which does not change the information in a master file, retain AV.
2.1.002	3022	Master Files	AC	AC	AC=Completion of 3rd update cycle except for: a) Data file which replaces or serves in lieu of a textual record, follow retention period approved for equivalent type textual record b) Output data file extracted from system solely to produce printed reports or other publications, retain AV.
2.1.007	3023	Software Programs Automated software applications and operating system files including job control language, program listing/source code, etc. Caution: If an electronic record is schedule for permanent retention. Software needed for access to the record must also be retained permanently.	AC	AC	AC=Until electronic records are transferred to and made usable in new software environment or there are no electronic records being retained using that software to read records. 13 TAC 6.94(a)

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03 CHIEF OPERATING OFFICER - INFORMATION RESOURCE MANAGEMENT - APPLICATION DEVELOPMENT & MAINT

2.1.009	3024	<p>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.</p>	AC	AC	<p>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 retained to meet an approved retention period that require the documentation to be retrieved and read. 13 TAC 6.94.</p>
2.2.001	3025	<p>System Monitoring Records Electronic files or automated logs created to monitor computer systems such as print spool logs, console logs, tape activity logs. Etc.</p>	AV	AV	
2.2.010	3026	<p>IT 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.</p>	US	3	US+3

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03 CHIEF OPERATING OFFICER - INFORMATION RESOURCE MANAGEMENT - APPLICATION DEVELOPMENT & MAINT

2.2.011	3027	Batch Data Entry Control Records Forms and logs used to reconcile batches submitted for processing against batches received and processed.	AC	AC	AC=When reconciliation confirmed.
5.3.009	3028	Requests for Information Requests for information preliminary to the procurement of goods or services by direct purchase or bid.	AC	AC	AC=Date of direct purchase, issuance of request for bids, or decision not to proceed with the procurement, as applicable.

03 CHIEF OPERATING OFFICER - INFORMATION RESOURCE MANAGEMENT - OPERATIONS

	3029	Requests for IT Services	AC	2	AC+2	AC=Service completed.	93-530-011
1.2.015	3030	Disaster Recovery Service Transmittals Also includes documentation for disaster recovery services provided by other entities.	FE+1		FE+1		
2.1.008	3064	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. If an electronic record is scheduled for permanent retention, hardware documentation needed for access to the record must also be retained permanently.	AC		AC	AC=Until electronic records are transferred to and made usable in a new hardware environment or there are no electronic records retained using that software to read the records. 13 TAC 6.97(a).	

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03 CHIEF OPERATING OFFICER - INFORMATION RESOURCE MANAGEMENT - OPERATIONS

2.1.010	3065	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 log.	AC	AC	AC=All audit requirements have been met.
2.1.011	3066	Finding Aids, Indexes, and Tracking Systems Automated indexes, lists, registers, and other finding aids used to provide access to the hard copy and electronic records.	AC	AC	AC=The related hard copy or electronic records have been destroyed.
2.2.002	3067	Chargeback Records to IT 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 FE+3	
2.2.004	3068	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.	3 MO	3 MO	
2.2.012	3069	Output Records for Computer Production Reports showing transactions that were accepted, rejected, suspended, and/or processed.	AV	AV	
5.2.010	3070	Equipment Manuals	LA	LA	
5.2.011	3071	Equipment Warranties	AC+1	AC+1	AC=Expiration of warranty.

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03 CHIEF OPERATING OFFICER - INFORMATION RESOURCE MANAGEMENT - OPERATIONS

5.5.001	3072	Billing Detail - Telecommunications (Other Than TEX-AN) In addition to summary detail, includes any accompany detailed listing of long distance calls.	FE	3	FE+3		97-530-048
5.5.003	3073	Station Activity Reports Internal listing of incoming/outgoing telephone activity to individual telephone stations.	AV		AV		
5.5.004	3074	System Activity Reports Internal listing of all incoming/outgoing agency telephone activity.	AV		AV		
5.5.006	3075	Billing Detail - Telecommunications (TEX-AN) Retention period applies only to TEX-AN billing detail received by an agency from the General Services Commission before June 1, 1994. In addition to summary detail, includes any accompany detailed listing of long distance calls.	FE	3	FE+3	NOTE: Since 5/94, GSC maintains TEX-AN long distance records for 4 years and provides the agency a bill summary. 1 TAC 121.5(f).	
5.5.007	3076	Disputed Call Documentation Documentation relating to disputed long distance calls, including documents evidencing repayment by employees for personal long distance use.	FE	3	FE+3		

03 CHIEF OPERATING OFFICER - LEGAL SERVICES

		Administrative/Subject Correspondence - Training Documentation and evaluation to support training of legal staff.	AC + 1	2	AC + 3	AC=Completion of training.	97-530-046
	3078	Diligent Search Unit-Support Documentation	CE	2	CE+2		02-530-066
	3079	Hearing Case Files	AC	5	AC+5	AC=Final decision.	96-530-044

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03 CHIEF OPERATING OFFICER - LEGAL SERVICES								
1.1	3080	Agency Rule Work Files	AV		AV			
1.1.014	3081	Legal Opinions and Advice From agency legal counsel or the Attorney General, including any requests eliciting the opinions.	AV		AV	R		
1.1.020	3082	Public Information Requests - Not Exempted Includes all correspondence and documentation relating to requests for records that are furnished to the public.	AC+1		AC+1	AC=Date request fulfilled.		
1.1.021	3083	Public Information Requests - Exempted Includes all correspondence and documentation relating to request for records that are denied under exceptions to the Public Information Act (Chapter 552, Government Code).	AC+2		AC+2	AC=Date request denied.		
1.1.026	3084	Texas Register Submissions Copies of all proposed, withdrawn, emergency, and adopted rules; open meeting notices; or any other documents required by law to be submitted to the Texas Register.	AC+1		AC+1	AC=Date of publication in Texas Register.		
1.1.048	3085	Potential Litigation	2	3	5	R	00-530-061	

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4.	5.	6.	7.	8.	9.	10.	11.
Record	Agency	RECORD SERIES TITLE	RETENTION PERIOD	Archival	Remarks	106 No.	TSLAC ONLY
Series			Agency Storage Total				Amend.

03 CHIEF OPERATING OFFICER - LEGAL SERVICES

1.1.048	3086	Litigation Files Records created by or on behalf of an agency in anticipation of or in the adjudication of a lawsuit.	AC+ 6 mos	19 yr+6 MOS	AC+20	R	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). For cases that set legal precedent or contain historical value will be evaluated by the Archives and Information Services Division of the Texas State Library and Archives Commission for archival preservation.	96-530-038
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1.1.075	3077	Alternative Dispute Resolution (ADR) / Final Written Agreement Final agreement described by Government Code, 2009.054(c), associated with a matter conducted under an alternative dispute resolution procedure in which personnel of a state agency participated as a party on the agency's behalf.	AC	4	AC+4		AC=Date of final agreement. Texas Civil Practice and Remedies Code, Chapter 154.071.	
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03 CHIEF OPERATING OFFICER - Legal Services - Administrative Services

	3087	Contract Legal Review Legal review of contracts.	AC	5	AC+5		AC=After review of contract.	
5.1.001	3088	Contracts Client Services Contracts for Client Services (State Office/Region), Interagency Agreements (State Office/Region), Professional Services & Consultants (State Office)	AC	4	AC+4		AC=Expiration/Termination of Contract	

03 CHIEF OPERATING OFFICER - OPERATIONS

STATE OF TEXAS Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

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Approved: 1/21/2009

2. Agency Code - 530 3. Agency Name - Department of Family and Protective Services

4. Record Series	5. Agency	6. RECORD SERIES TITLE	7. RETENTION PERIOD			8. Archival 9. Remarks	10. 106 No.	11. TSLAC ONLY Amend.
			Agency	Storage	Total			
03 CHIEF OPERATING OFFICER - OPERATIONS								
	3089	Printing Budget Tracking Database	US		US			
	3090	Publications Distribution Database	US		US			
	3091	Project Files	FE	5	FE+5		94-530-021	
1.1.024	3092	Business Plans Plans and records relating to the process of planning new or redefined programs, services or projects of an agency that are not included in or directly related to other records series in this schedule.	AC+3		AC+3	R		AC=Decision made to implement or not to implement, result of planning process.
1.1.038	3093	Survey of Organizational Excellence Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC+3		AC+3			
1.1.055	3094	Strategic Plans Information resources and operation strategic plans prepared in accordance with Section 2054.095 and 2056.002, Government Code.	AC	6	AC+6	A		AC=September 1 of odd-numbered calendar years. 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.
1.1.065	3095	Project Reports - Raw Data	AV		AV			NOTE: Some may be confidential.
1.1.067	3096	HUB - External Non-Fiscal Reports	FE	3	FE+3	R		

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SLR 105

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Approved: 1/21/2009

2. Agency Code - 530 3. Agency Name - Department of Family and Protective Services

4. Record Series	5. Agency	6. RECORD SERIES TITLE	7. RETENTION PERIOD			8. Archival 9. Remarks	10. 106 No.	11. TSLAC ONLY Amend.
			Agency	Storage	Total			
03 CHIEF OPERATING OFFICER - OPERATIONS								
1.1.067	3097	Management Analysis & Project Reports 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.	FE+3		FE+3	R NOTE: Some may be confidential.		
1.2.003	3019	Forms History Files	AC+1		AC+1	AC=Form no longer used.		
1.2.004	3099	Forms Inventory	US		US			
1.2.015	3100	Disaster Recovery Service Transmittals (RMD109)	FE+1		FE+1			
4.5.005	3101	HUB - External Fiscal Reports	FE	4	FE+4			
5.1.007	3102	Requisitions for In-Agency/Inter-Agency Copy/Printing Service Includes work processing and data processing.	AV		AV			
5.4.013	3103	Disaster-Preparedness & Recovery Plan	US		US			
03 CHIEF OPERATING OFFICER - OPERATIONS - ASSET MANAGEMENT								
4.7.004	3104	Capital Asset Records	LA	3	LA+3			
4.7.009	3105	Fixed Asset Sequential Number Log	US	3	US+3			
5.2.006	3106	Certificates of Property Destruction	FE	3	FE+3			

STATE OF TEXAS Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 20 of 42

Approved: 1/21/2009

2. Agency Code - 530 3. Agency Name - Department of Family and Protective Services

4. Record Series	5. Agency	6. RECORD SERIES TITLE	7. RETENTION PERIOD			8. Archival 9. Remarks	10. 106 No.	11. TSLAC ONLY Amend.
			Agency	Storage	Total			
03 CHIEF OPERATING OFFICER - OPERATIONS - ASSET MANAGEMENT								
5.2.008	3107	Equipment History File; Equipment Service Agreements or contracts between the agency and equipment vendor to provide maintenance service for equipment. Includes requests for installation, moves, service, etc.; and service/repairs logbooks, etc.	LA	3	LA+3			
5.2.014	3108	Inventory - Annual Physical Property, equipment, supply verification.	FE+1	2	FE+3			
5.2.021	3109	Surplus Property Sale Report	FE+1	2	FE+3			
03 CHIEF OPERATING OFFICER - OPERATIONS - MANAGEMENT REPORTING AND STATISTICS								
	3110	XIX Targeted Case Management (Raw Data)	AV	5	AV+5		96-530-035	
	3111	Foster Care Time Study (Raw Data)	AV	5	AV+5			
	3112	Program Statistics	FE	5	FE+5			
1.1.064	3113	Agency Performance Measure Documentation Any records of an agency needed for the documentation of output, outcome, efficiency, and explanatory measures in an agency's appropriations request or strategic plan.	FE	3	FE+3			
1.1.068	3114	Reports on Performance Measures Quarterly and annual reports on agency performance measures submitted to the executive and legislative budget offices.	AC	6	AC+6	AC=September 1 of odd-numbered calendar years.		

03 CHIEF OPERATING OFFICER - OPERATIONS - RECORDS MANAGEMENT

STATE OF TEXAS Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

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Approved: 1/21/2009

2. Agency Code - 530 3. Agency Name - Department of Family and Protective Services

4. Record Series	5. Agency	6. RECORD SERIES TITLE	7. RETENTION PERIOD			8. Archival 9. Remarks	10. 106 No.	11. TSLAC ONLY Amend.
			Agency	Storage	Total			
03 CHIEF OPERATING OFFICER - OPERATIONS - RECORDS MANAGEMENT								
	3115	Microfilm Daily Production Logs Monthly Production Logs, Microfilm Monthly Box Tracking Report	AV		AV			
	3116	Records Storage Database	US		US			
	3117	DFPS Transfer of Records Request - Form 4706	AC	2	AC+2	AC=Date of authorization for destruction, permanent transfer from storage, date records have been microfilmed.		
	3118	Microfilm Control Sheets Database	US		US			
1.2.001	3119	Request to Dispose of DFPS Records (Form 4712) Authorization to destroy agency records.	FE	3	FE+3			
1.2.005	3120	DFPS Certified Records Retention Schedule (105)	US		US	NOTE: Original kept Permanently by Texas State Library, State and Local Records Division.		
1.2.006	3121	TSL-Records Transmittal Forms (RMD 101) 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+2	AC=Date of authorization for destruction, permanent transfer from storage, or transfer to Archives and Information Services Division, Texas State Library and Archives Commission, by the agency records administrator.		
1.2.008	3122	TSL-Request for Authority to Dispose of State Records (RMD 102)	FE	3	FE+3			
1.2.010	3123	DFPS Records Disposition Log (Form 4713) 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		10			

STATE OF TEXAS Records Retention Schedule

SLR 105

Form SLR 105C must
accompany this form.

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Approved: 1/21/2009

2. Agency Code - 530 3. Agency Name - Department of Family and Protective Services

4. Record Series	5. Agency	6. RECORD SERIES TITLE	7. RETENTION PERIOD			8. Archival 9. Remarks	10. 106 No.	11. TSLAC ONLY Amend.
			Agency	Storage	Total			
03 CHIEF OPERATING OFFICER - OPERATIONS - RECORDS MANAGEMENT								
1.2.011	3124	TSL-Records Center Storage Approval Forms (RMD 106)	US		US			
1.2.012	3125	DFPS Records Retention Schedule Change Form (Form 4711) To include Records Inventory Worksheet.	US		US			
1.2.013	3126	Records Control Locator Aids Includes indexes, card files, shelf lists, registers, guides, etc.	AC		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.		
1.2.014	3127	Records Management Plans	US+1		US+1			
03 CHIEF OPERATING OFFICER - PROGRAM SUPPORT								
5.2.010	3128	Equipment Manuals	LA		LA			
5.2.011	3129	Equipment Warranties	AC+1		AC+1	AC=Expiration of warranty.		
5.2.027	3130	Space Utilization Reports	AV		AV			
5.6.003	3131	Vehicle Inspection Repair and Maintenance Records	LA+1		LA+1			
5.6.005	3132	Vehicle Use Reports Includes mileage, fuel/oil consumption, passengers carried and other related operational information.	FE+3		FE+3			
5.6.007	3134	Vehicle Titles & Registrations	LA		LA			

04 FINANCE - ACCOUNTING

STATE OF TEXAS Records Retention Schedule

SLR 105

Form SLR 105C must
accompany this form.

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Approved: 1/21/2009

2. Agency Code - 530 3. Agency Name - Department of Family and Protective Services

4. Record Series	5. Agency	6. RECORD SERIES TITLE	7. RETENTION PERIOD			8. Archival 9. Remarks	10. 106 No.	11. TSLAC ONLY Amend.
			Agency	Storage	Total			
04 FINANCE - ACCOUNTING								
	3135	CPS Children's Funds Management Accounting Records						
		See 07 Child Protective Services.						
4.1.001	3136	Accounts Payable	FE	3	FE+3	Paper destroyed after filming. Master stored at the State Records Center, duplicate stored at agency. 93-530-001 (M) 04-530-071(P) NOTE: Some records may be confidential.	04-530-071	
4.1.002	3137	Billing Detail	FE	3	FE+3	NOTE: Some records may be confidential.		
4.1.003	3138	Canceled Checks/Stubs/Warrants/Drafts	FE	3	FE+3	NOTE: Some records may be confidential.		
4.1.005	3139	Inventory & Other Cost Files Production, job, labor, quotes, pricing, specifications, etc.	FE	3	FE+3			
4.1.007	3140	Transmittal of Funds/Cost Center Transfer	FE	3	FE+3		02-530-065	
4.2.001	3141	Cash Deposit Vouchers Cash deposit slips.	FE	3	FE+3	NOTE: Some records may be confidential.	03-530-069	
4.2.003	3142	Daily Cash Receipt Logs	FE	3	FE+3			
4.2.005	3143	Purchase Vouchers Requisitions, orders, receiving reports, invoices, or statements, change orders, etc.	FE	3	FE+3	NOTE: Some records may be confidential.		
4.2.006	3144	General Purchase Vouchers	FE	3	FE+3	Some may be confidential.		
4.2.007	3145	Expenditure Vouchers Travel, payroll, etc.	FE	3	FE+3	NOTE: Some records may be confidential.		

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accompany this form.

1. Page 24 of 42

Approved: 1/21/2009

2. Agency Code - 530 3. Agency Name - Department of Family and Protective Services

4. Record Series	5. Agency	6. RECORD SERIES TITLE	7. RETENTION PERIOD			8. Archival 9. Remarks	10. 106 No.	11. TSLAC ONLY Amend.
			Agency	Storage	Total			
04 FINANCE - ACCOUNTING								
4.3.002	3146	Receipts Journals or Registers	FE	3	FE+3			
4.3.003	3147	Expenditures Journals or Registers	FE	3	FE+3			
4.4.001	3148	General and Subsidiary Ledgers	FE	10	FE+10	Retained in agency Fiscal End. Paper destroyed after microfilm. Master copy stored at the State Records Center, duplicate copy stored at the agency.	96-530-036	
4.4.002	3149	Accounts Receivable Ledgers	FE	3	FE+3			
4.4.002	3150	Accounts Receivable	FE	3	FE+3	Paper destroyed after filming. Master copy stored at the State Records Center, duplicate copy stored at agency. NOTE: Some records may be confidential.	93-530-007	
4.4.003	3151	Accounts Payable Ledgers	FE	3	FE+3			
4.4.004	3152	Employees Savings Bond Ledgers	FE	3	FE+3			
4.6.001	3153	Balancing Records	FE	3	FE+3			
4.6.002	3154	Reconciliations	FE	3	FE+3		03-530-070	
4.6.003	3155	Cash Counts	FE	3	FE+3			
4.7.001	3156	Accounting Policies and Procedures Manual	US	3	US+3			
4.7.002	3157	Bank Statements	FE	3	FE+3			
4.7.003	3158	Returned Checks/Warrants/Drafts Uncollectible)	AC	3	AC+3	AC=After deemed uncollectible.		
4.7.005	3159	Claim Files	AC	3	AC+3	AC=Resolution of claim.		

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SLR 105

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accompany this form.

1. Page 25 of 42

Approved: 1/21/2009

2. Agency Code - 530 3. Agency Name - Department of Family and Protective Services

4. Record Series	5. Agency	6. RECORD SERIES TITLE	7. RETENTION PERIOD			8. Archival 9. Remarks	10. 106 No.	11. TSLAC ONLY Amend.
			Agency	Storage	Total			
04 FINANCE - ACCOUNTING								
4.7.006	3160	Comptroller Statements	FE	3	FE+3			
4.7.007	3161	Detail Chart of Accounts One for all accounts in use for a fiscal year.	FE	3	FE+3			
4.7.011	3162	Texas Building and Procurement Commission Statements (TBPC) Charge or bill statements received by agencies from the TBPC for services provided.	FE+3		FE+3			
4.7.012	3163	Signature Authorizations Signature cards or similar records establishing authority of an agency employee to initiate or authorize financial transactions on behalf of an agency.	US+FE	3	US+FE+3			
04 FINANCE - BUDGET AND FEDERAL FUNDS								
	3164	Program Budget Documentation Files	FE	5	FE+5		95-530-032	
	3165	Project Evaluations	AC	10	AC+10	AC=Project Completion.		
1.1.004	3166	Legislative Appropriation Requests Including any supporting documentation created and/or used to justify and support legislative appropriations requests by an agency. Note, Only copies of supporting documentation submitted to the Legislative Budget Board are archival.	AC	6	AC+6	A AC=September 1 of odd-numbered calendar years. 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.		
4.1.004	3167	Encumbrance Detail	FE	3	FE+3			
4.5	3168	Budget Working Files	FE	5	FE+5		99-530-055	

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SLR 105

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Approved: 1/21/2009

2. Agency Code - 530 3. Agency Name - Department of Family and Protective Services

4. Record Series	5. Agency	6. RECORD SERIES TITLE	7. RETENTION PERIOD			8. Archival 9. Remarks	10. 106 No.	11. TSLAC ONLY Amend.
			Agency	Storage	Total			
04 FINANCE - BUDGET AND FEDERAL FUNDS								
4.5.001	3169	Worksheets for Preparing Fiscal Reports	FE	3	FE+3			
4.5.002	3170	Internal Fiscal Management Reports Includes agency monthly budget reports.	FE	5	FE+5		97-530-047	
4.5.003	3171	Annual Financial Reports Required by the General Appropriations Act (100 Day Report).	AC	6	AC+6	AC=September 1 of odd-numbered calendar years.		
4.5.005	3172	External Fiscal Reports Special purpose - i.e., federal financial reports, salary reports, etc.	FE	3	FE+3			
4.5.006	3173	Annual Operating Budgets Required by the General Appropriations Act.	FE	3	FE+3			
4.7.008	3174	Federal Grant Records	AC+3		AC+3	AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (the Common Rule).		
05 ADULT PROTECTIVE SERVICE								
	3175	In-Home Investigation and Services Case Records (with Admin Case records with Administrative Review or Hearing (APR) (ASR)	AC+CE+2	3	AC+CE+5	HRC, §48.101. AC=Decision rendered/litigation resolved.		
	3176	Facility Investigation Case Records (APF)	AC+2	3	AC+5	HRC, §48.101. AC=Case closed.		
	3177	Aging Out Child (AOC)	AC+2	3	AC+5	HRC, §48.101. AC=Case closed.		
	3178	Other Agency Investigation Reports	FE	5	FE+5	HRC, §48.101.		

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Approved: 1/21/2009

2. Agency Code - 530 3. Agency Name - Department of Family and Protective Services

4. Record Series	5. Agency	6. RECORD SERIES TITLE	7. RETENTION PERIOD			8. Archival 9. Remarks	10. 106 No.	11. TSLAC ONLY Amend.
			Agency	Storage	Total			
05 ADULT PROTECTIVE SERVICE								
	3179	TDMHMR Appeals & Reviews	FE+5		FE+5	HRC, §48.101. AC=Case closed.		
	3180	In-Home Investigation and Services Case Records (ACP) (ASR)	AC+2	3	AC+5	HRC, §48.101. AC=Case closed.		
1.1.007	3181	Facility Appeal/Review Process Records Documentation of the appeal and review processes.	FE+5		FE+5	R		
5.1.001	3182	Contracts and Procurement Records	AC	4	AC+4	AC=Expiration of contracts.		
06 CHILD CARE LICENSING								
	3183	Closed Operations Investigations of Operations Determined Not Subject to Regulation.	AC+CE+4	2	AC+CE+6	AC=After closure. Some of these records are subject to the Public Information Act after deidentification.		
	3184	Operating Operations -Registered Homes	6	2	8	Some of these records are subject to the Public Information Act after deidentification.		
	3185	Closed Operations Includes Denial, Revocation or Adverse Suspension, Condition/Restriction of Permit Due to Background Check Result, or Endangering Person. Except for one type of denial that affects only residential child care. If a DFPS denial was due to a residential out-of-state history retain the record until approved by DFPS Office of General Counsel.	AV		AV	AV=Retain unless destruction is approved by DFPS General Counsel. Some of these records are subject to the PIA, after deidentification.		
	3186	Operating Operations -Licensed and Certified Operations	4	2	6	Some of these records are subject to the Public Information Act after deidentification.	94-530-023	

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SLR 105

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Approved: 1/21/2009

2. Agency Code - 530 3. Agency Name - Department of Family and Protective Services

4.	5.	6.	7.	8.	9.	10.	11.
Record	Agency	RECORD SERIES TITLE	RETENTION PERIOD Agency Storage Total	Archival	Remarks	106 No.	TS/LAC ONLY
Series							Amend.

06 CHILD CARE LICENSING

3187	Closed Operations All operations that have had: Due Process Hearing, Injunctions, Lawsuit, Criminal Prosecution.	AV	2	AV	NOTE: Retain unless destruction is approved by DFPS General Counsel. Some of these records are subject to the Public Information Act after deidentification.
3188	Closed Operations All other operations.	AC+CE+3	2	AC+CE+5	AC=After closure. Some of these records are subject to the Public Information Act after deidentification.
3189	Child Day-Care Credential Programs	AC	2	AC+2	
3190	Licensed Administrators	AC	2	AC+2	AC=As long as licensed or inactive status. Some of these records are subject to the Public Information Act after deidentification.
3191	Investigations Abuse/Neglect Record, Reason to Believe.	18 or AC+CE	2	20 or AC+CE+2	AC=Retention period for the corresponding Operating or Closed Operation. Retention period in agency is 18 years + Calendar End or AC + Calendar End, whichever is longer. Some of these records are subject to the Public Information Act after deidentification.
3192	Administrative Records Exemption Determinations	10+CE	2	12+CE	Some of these records are subject to the Public Information Act after deidentification.
3193	Investigations Abuse/Neglect Record-Ruled Out	18moorAC+CE	2	3 Yr 6 Mo or AC+2+CE	AC=Retention period for the corresponding Operating or Closed Operation. Retention period in agency is 18 Mo. Or AC, whichever is longer. Some of these records are subject to the Public Information Act after deidentification.

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2. Agency Code - 530 3. Agency Name - Department of Family and Protective Services

4.	5.	6.	7.	8.	9.	10.	11.
Record	Agency	RECORD SERIES TITLE	RETENTION PERIOD Agency Storage Total	Archival	Remarks	106 No.	TSLAC ONLY Amend.

06 CHILD CARE LICENSING

3194	Investigations Abuse/Neglect Record - Unable to complete..	3 or AC+CE	2	5 or AC+CE+2	AC=Retention period for the corresponding Operating or Closed Operation. Retention period in agency is 3 years + Calendar End or AC + Calendar End, whichever is longer. Some of these records are subject to the Public Information Act after deidentification.
3195	Operating Operations -Listed Homes	AC+CE+3	2	AC+CE+5	AC=After closure. Some of these records are subject to the Public Information Act after deidentification.

07 CHILD PROTECTIVE SERVICES

3196	Information and Referral Calls/NCRSR Non-case related special requests; includes unknown case inquiries.	AC	6 MO	AC+6 Mo	AC=Request/Inquiry complete.
3197.1	Case Records - Investigation (CIU) Investigations Closed After Ruled-Out/No Risk. Includes risk, findings of risk controlled, no significant factors and risk not applicable. (CIU)	AC	18 Mo	AC+18 Mo	AC=Case closed.
3198	Case Records - Investigation (CAA) Investigation Closed Administratively After Assignment, (CAA).	AC	3	AC+3	AC=Case closed.
3199	Case Records - Investigation (CIR) Investigations Closed After Ruled-Out/Risk Indicated. (CIR)	AC	3	AC+3	AC=Case closed.

STATE OF TEXAS Records Retention Schedule

Approved: 1/21/2009

2. Agency Code - 530 3. Agency Name - Department of Family and Protective Services

4. Record Series	5. Agency	6. RECORD SERIES TITLE	7. RETENTION PERIOD			8. Archival 9. Remarks	10. 106 No.	11. TSLAC ONLY Amend.
			Agency	Storage	Total			
07 CHILD PROTECTIVE SERVICES								
3200		Case Records - Investigation (CIO) Investigations Closed/Other. Includes Disposition of Reason to Believe (RTB), Unable to Determine (UTD), and Moved (MOV). CIO	AC	5/Y18	AC+5/Y18	AC=Case closed. 5 years or until the youngest principal in the case turns 18; whichever period is longer.	93-530-015	
3201		Case Records - Family Preservation (OPS) Family Preservation - ongoing protective services. OPS	AC	5/Y18	AC+5/Y18	AC=Case closed. 5 years or until the youngest principal in the case turns 18; whichever period is longer.	93-530-016	
3202		Adoption / Foster Home - Inquiry Only (AHI) (FHI)	AC	3	AC+3	AC=Case closed.		
3203		Casework - Related Special Requests (CCR) Includes, Court Ordered Social Studies, Out of Town/State Inquiries, Courtesy Interviews, and Adoption Service Requests. CCR	AC	3	AC+3	AC=Case closed.		
3204		Adoptive Home Record (AHR) No Placement Made/Disrupted before consummation. (AHR)	AC	5	AC+5	AC=Case closed.		
3205		Foster Home Records (FHR)	AC	5	AC+5	AC=Case closed.		
3206		Interstate Compact on Placement of Children Administrative Files ICPC Client Case Records. ICPC	AC	3	AC+3	AC=Case closed. HRC, 48.101	93-530-009	
3207		Foster and Adoptive Home Records with Family Concerns	AC	20	AC+20	AC=Case closed.		
3208		Case Records - Investigation (CWA) Intake Closed Without Assignment for investigation, (CWA).	AC	18 Mo	AC+18 Mo	AC=Case closed.		

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2. Agency Code - 530 3. Agency Name - Department of Family and Protective Services

4. Record Series	5. Agency	6. RECORD SERIES TITLE	7. RETENTION PERIOD			8. Archival 9. Remarks	10. 106 No.	11. TSLAC ONLY Amend.
			Agency	Storage	Total			
07 CHILD PROTECTIVE SERVICES								
	3209	CPS Children's Funds Management Accounting Records Records include banking records, accounts receivable, and accounts payable) [Note: for accounting records, see Accounting under Finance]	FE	5	FE+5	AC=Case closed.		
	3210	Adoption Registry	AC		AC	AC=After applicant requests their name to be removed from registry, or after 99 years, whichever comes first.		
	3211	Policy Development Files	US	10	US+10	R	96-530-037	
	3212	Adoption/Conservatorship Memorabilia Files	AC		AC	AC=Release to authorized children.		
	3213	Adoption Case Records Includes Adoption Subsidy Records (PAD) for Adoptions handled by DFPS (ACH), Adoptive Home Consummated (AHC) and Post-adoption Records (PAR)	AC	99	AC+99	AC=After consummation/case closed. Hard copy destroyed after microfilm. Master stored at the State Records Center, duplicate stored at agency. After 9/1/96 part of case record maintained electronically.	93-530-005	
	3214	Conservatorship Case Records (CVS) Includes Temporary Subsistence Care, Family Reunification, Long Term Substance Care, Foster Care Financial Assistance. Also known as CVS record.	AC	99	AC+99	AC=Case closed. Hard copy destroyed after filming. Master copy stored at the State Records Center, duplicate copy stored in agency. After 9/1/1996, part of the case records is maintained electronically.	93-530-003	
5.1.001	3215	Contracts and Procurement Records	AC	4	AC+4	AC=Expiration of contracts		

08 PURCHASED CLIENT SERVICES

STATE OF TEXAS Records Retention Schedule

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2. Agency Code - 530 3. Agency Name - Department of Family and Protective Services

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Record	Agency	RECORD SERIES TITLE	RETENTION PERIOD	Archival	Remarks	106 No.	TSLAC ONLY
Series			Agency Storage Total				Amend.

08 PURCHASED CLIENT SERVICES

1.1.070	3216	PCS Program Policies, Procedures, Rules. Handbooks, manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3	AC+3	R	AC=Completion or termination of program, rules, policies or procedures.
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08 PURCHASED CLIENT SERVICES - PREVENTION & EARLY INTERVENTION

	3217	PEI Program Records - Federal	AV	5	AV+5	HRC, §48.101.	94-530-024
	3218	PEI Program Records - Non Federal	AV	5	AV+5	HRC, §48.101.	95-530-027
1.1.065	3219	Client and Program Service Data Records-Raw Data	FE+2		FE+2	Raw data records input into Purchased Client Services database.	
1.1.067	3220	Client and Program Service Records - Federal Project Reports 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.	FE+3		FE+3	R	
1.3.002	3221	Campaign and Media Materials Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV		AV	R	

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08 PURCHASED CLIENT SERVICES - PREVENTION & EARLY INTERVENTION

4.7.008	3222	Federal Grant Records	AC+3	AC+3	AC= Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (the Common Rule).
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08 PURCHASED CLIENT SERVICES - RESIDENTIAL & STATEWIDE CONTRACTS

5.1.001	3223	Contracts 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 and rejected bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence.	AC	4	AC+4	AC=Expiration or termination of the instrument according to terms.
5.3.009	3224	Requests for Information Requests for information preliminary to the procurement of goods or services by direct purchase or bid. I	AC		AC	AC=Date of direct purchase, issuance of request for bids, or decision not to proceed with the procurement, as applicable.

09 ENTERPRISE ADMINISTRATION - HHSC - CIVIL RIGHTS

1.1	3283	Compliance Reviews	3		3	
1.1.043	3225	Training Materials	US+1		US+1	
1.1.056	3230	ADA (Americans with Disabilities Act) Documentation Self evaluations and plans documenting compliance with the requirements of the Americans With Disabilities Act.	3		3	28 CFR 35.105 (c)

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			Agency	Storage	Total			
09 ENTERPRISE ADMINISTRATION - HHSC - CIVIL RIGHTS								
3.1	3226	Civil Rights Complaint Records	AC+2		AC+2	AC=Final disposition of complaint.		
3.3.030	3227	Training and Administration Records Instructional materials and other records associated with in-house training of agency personnel on personnel policies and procedures and other policies and procedures that govern an agency's programs, services, or projects.	US+2		US+2			
5.1.014	3228	Civil Rights Manual Any internally distributed manual, guidelines, or similar records that establish standard office procedures for an agency.	US+1		US+1			
5.4.003	3229	Inspection Records Fire, safety, and other inspection records of agency facilities and equipment. Does not include building construction.	AC+3		AC+3	AC=Date of correction of the deficiency, if the inspection report reveals a deficiency.		
09 ENTERPRISE ADMINISTRATION - HHSC - HUMAN RESOURCE								
3.1	3231	Employee Master Files Application for Employment/hired, Documentation of Employment Eligibility, Disciplinary Action Documentation, Employee Insurance Records, Personnel Information or Action Forms, BRP Form, Computer Security Agreement, W4 Form, Performance & Planning Review Documentation, Recognition Awards, Training and Education Achievement Records.	AC	5	AC+5	29 CFR 1602.31(a) 26 CFR 31.6001.5 AC=Termination of employment. Microfilm - 1995-1997, hard copy destroyed after filming. Master stored at State Record Center, duplicate at agency, TSL 106 #94-530-026(M). After 9/1/97, maintained in hard copy, TSL 106 #97-530-050(P)	97-530-050/94-530-026	

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09 ENTERPRISE ADMINISTRATION - HHSC - HUMAN RESOURCE								
3.1.001	3232	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.	6 Mo	18 Mo	2	29 CFR 1602.31(a).		
3.1.012	3233	Employment Opportunity Announcements Internal or external announcements or advertisements of job openings, promotions, training programs, or opportunities for overtime.	6 Mo	18 Mo	2	29 CFR 1602.31(a).		
3.1.013	3234	Employment Contracts	AC	4	AC+4	AC=Expiration of contract or termination of the contract according to its terms.		
3.1.014	3235	Employment Selection Records Includes notes of interviews with candidates; questions asked of applicants; audio and videotapes of job interviews; driving record and previous injury checks; pre-employment physical examinations; polygraph examination results; and all other records that document the selection process.	6 Mo	18 Mo	2	29 CFR 1602.31(a)	95-530-028	
3.1.018	3236	Grievance Records Records relating to the review of employee grievances against personnel policies, working conditions, etc.	AC	2	AC+2	AC=Final decision on the grievance.		
3.1.019	3284	Performance Appraisals	2		2	29 CFR 1620.32 c		
3.1.020	3237	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+5	AC=Termination of corrective action.		

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			Agency	Storage	Total			
09 ENTERPRISE ADMINISTRATION - HHSC - HUMAN RESOURCE								
3.1.023	3238	Position/Jobs Description Job Descriptions, including all associated task or skill statements, for positions in an agency.	AC	4	AC+4	AC=Until superseded or job eliminated. 40 TAC 815.106(i).	03-530-067	
3.1.024	3239	Physical Examination/Medical Reports Medical or physical examination reports or certificates of employees for whom periodic monitoring of health or fitness is required.	AC+2		AC+2	AC=Until superseded or termination of employment.		
3.1.026	3240	Criminal History Checks Criminal history record information on job applicants or agency employees obtained from the Department of Public Safety (DPS).	AC		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 441 Government Code for appropriate retention and use of this information.		
3.1.031	3241	Employee Benefits - Other than Insurance Agency copies of information relating to the selection of available benefit options other than insurance.	AC+2		AC+2	AC=Until superseded or termination of employment.		
3.2.001	3242	Employee Deduction Authorization Documentation used to start, modify, or stop all voluntary or required deductions from payroll, including garnishment or other court-ordered attachments.	AC	4	AC+4	AC=After termination of employee or after amendment, expiration, or termination of authorization, whichever sooner.		
3.2.002	3243	Employee Earnings Records	4		4	40 TAC 815.6(i).		
3.2.003	3244	Federal Tax Records Includes 1099, W2, FICA, and other tax records.	AC	4	AC+4	29 CFR 31.6001-1(e)(2). AC=Date tax due, claim filed or tax paid, whichever is later.		

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			Agency	Storage	Total			
09 ENTERPRISE ADMINISTRATION - HHSC - HUMAN RESOURCE								
3.2.004	3245	Income Adjustments Authorizations Used to make increases or decreases to employees' gross pay, FICA, retirement, or in the computation of taxes.	2		2	29 CFR 516.6(c).		
3.2.006	3246	Wage Rate Tables	2		2	29 CFR 516.6(a) (2).		
3.2.007	3247	Unemployment Compensation Records	AC	5	AC+5	AC=Claims settlement.		
3.2.008	3248	Direct Deposit Application/Authorization	US		US			
3.2.009	3249	State Deferred Compensation Records	AC	5	AC+5	AC=Account(s) closed. Contact Employees' Retirement System.		
3.2.010	3250	Human Resources Information System (HRIS) Reports Includes supporting documentation.	AC	4	AC+4	AC=Report Complete. Reveal electronic application.		
3.3.001	3251	Affirmative Action Plans Affirmative action plans for both regular employees and apprenticeship programs..	5		5	29 CFR 30.8(e) for apprenticeship plans.		
3.3.010	3252	Labor Statistics Reports Reports providing statistical information on labor force.	3		3			
3.3.011	3253	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		AC+75	AC=Termination of Employment. Access database.		
3.3.015	3254	Positions/Job Classification Review File Records relating to review and monitoring of job classifications within an agency.	US	3	US+3		96-530-039	

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			Agency	Storage	Total			
09 ENTERPRISE ADMINISTRATION - HHSC - HUMAN RESOURCE								
3.3.020	3255	Work Schedules/Assignments Work, duty, shift, crew, or case schedules, roster, or assignments.	1		1			
3.3.022	3256	Texas Workforce Commission (TWC) Reports Reports to the agency from TWC or its predecessor pertaining to employees.	3		3			
3.3.023	3257	Requests/Authorizations to Engage in Reimbursable Activities 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	FE+3			
3.3.024	3258	Personnel Policies and Procedures Any internally distributed manuals, guidelines, or similar records that define agency wide policies and procedures concerning the personnel of an agency.	US	3	US+3			
3.3.025	3259	Job Procedure Records Any documents detailing the procedural duties and responsibilities of agency positions on a position-by-position basis.	US	3	US+3			
3.3.026	3260	Agency Staffing Reports Any reports compiled by an agency on aspects of personnel staffing, including listings of all staff by program or name; staff hired during a month; detailed listings of employees within its organizational structure, position vacancies, analyses of turnover rates and seasonality of employment, etc.	US	3	US+3			

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			Agency	Storage	Total			
09 ENTERPRISE ADMINISTRATION - HHSC - HUMAN RESOURCE								
3.3.027	3261	Aptitude and Skills Tests Aptitude or skills tests required of job applicants or of current personnel to qualify for promotion or transfer.	US	2	US+2	29 CFR 1602.31		
3.3.028	3262	Aptitude and Skills Tests (Test Papers) Aptitude and skills test papers of job applicants or of current personnel taking a test to qualify for promotion or transfer.	2		2	29 CFR 1602.31		
3.3.029	3263	Aptitude and Skills Tests (Validation Records) Records of the validation of aptitude and skills tests.	LA	2	LA+2	LA=As long as the test is used by an agency. 29 CFR 1602.31		
3.3.031	3264	EEO Reports and Supporting Documents Includes documentation used to complete EEO reports.	3		3	29 CFR 1602.30, 1602.32, 1602.39, 1602.41, 1602.48, and 1602.50.		
3.3.032	3265	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		3	29 CFR 1620.32		
3.4.001	3285	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		FE+3			
3.4.002	3266	Leave Status Reports Cumulative report is issued each pay cycle and provides employee leave status information for each position. .	FE+3		FE+3		95-530-029	

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09 ENTERPRISE ADMINISTRATION - HHSC - HUMAN RESOURCE

3.4.006	3049	Time Card and Time Sheets Accumulated leave adjustment records, leave status reports, time sheets, and time off/sick leave requests) (Maintained Locally)	4	4	40 TAC 815.106(i)
3.4.008	3267	Sick Leave Pool Documentation Request submitted, approvals, number of hours transferred in and out, etc.	FE	3	FE+3

09 ENTERPRISE ADMINISTRATION - HHSC - Office of the Inspector General

	3268	Cost Reporting Audit Files, training information, raw data (State Office).	AC	5	AC+5 AC=Expiration/Termination of Contract
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09 ENTERPRISE ADMINISTRATION - HHSC - PROCUREMENT - PURCHASING

5.3.007	3269	Bid Documentation Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, and bid tabulation/evaluations.	FE	3	FE+3 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.
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09 ENTERPRISE ADMINISTRATION - HHSC - PROCUREMENT RECORDS

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Series			Agency Storage Total				Amend.

09 ENTERPRISE ADMINISTRATION - HHSC - PROCUREMENT RECORDS

5.1.001	3270	Contracts and Procurement Records 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.	AC	4	AC+4	AC=Expiration or termination of the instrument. Includes all of the following: Successful Offer, Unsuccessful Offer, and Cancelled Procurement.	93-530-017
5.3	3287	Procurement Card Purchases	FE+4		FE+4		
5.3.008	3286	Purchasing Log Log, register, etc., providing a record of purchase orders issued, orders received, and similar data on procurement status.	FE+3		FE+3		

09 ENTERPRISE ADMINISTRATION - HHSC - Risk Management

5.4	3271	Safety Training - Other than Hazardous Material	FE	2	FE+2		
5.4	3272	Safety Administration Records	FE+1	2	FE+3		
5.4	3273	Agency Liability Loss Protection Reports	AC	5	AC+5	AC=Resolution.	
5.4.001	3274	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	CE+5	29 CFR 1904.6. The Texas Workers' Compensation Commission retains copies of the reports submitted to it for 50 years. 29 CFR 1904.33	

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			Agency	Storage	Total			
09 ENTERPRISE ADMINISTRATION - HHSC - Risk Management								
5.4.002	3275	Evacuation Plans Plans for evacuation of agency facilities in cases of emergency.	US		US			
5.4.003	3276	Inspection Records Fire, safety, and other inspection records of agency facilities and equipment.	AC	3	AC+3	AC=Deficiency corrected.		
5.4.004	3277	Fire Orders Orders issued by Fire Marshal to correct deficiencies in compliance with the fire code.	AC	3	AC+3	AC=Deficiency corrected.		
5.4.007	3278	Hazardous Materials Training Records Records of training given employees in a agency hazard communications program.	AC	5	AC+5	HSC, Section 502.009(g). AC=Training completed.		
5.4.008	3279	Hazard Communication Plans	US	5	US+5	HSC, §502.009(g).		
5.4.009	3280	Workplace Chemical Lists	US	30	US+30	HSC, §502.005(d).		
5.4.010	3281	Material Safety Data Sheets (MSDS)	AC		AC	AC=After sheets updated or hazardous chemicals no longer stored.		