

State of Texas
Records Retention Schedule

Recertified: 5/23/2012 **Updated (with or without**
Amendment Approved: 2/19/2014 **amendment): 10/3/2017**

___ ORIGINAL SUBMISSION
X RECERTIFICATION
___ REPLACEMENT PAGE
___ ADDENDUM PAGE

Automated Facsimile of SLR-105

2. Agency Code: 537 3. Agency: Texas Department of State Health Services

4. Records Series Item #	5. Agency Item #	6. Records Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.
			Agency	Storage	Total			

599 - HEALTH CARE QUALITY SECTION-ADMINISTRATIVE

1.1	6279	REQUESTS FOR INFORMATION - PENDING	AC		AC		(THIS DOES NOT APPLY TO OPEN RECORDS REQUESTS. SEE #6290 AND #6291). AC=INFORMATION PROVIDED.
1.1	6280	QUALITY ASSURANCE AUDITS	AC	3	AC+3		AC=FINAL REVIEW
1.1	6283	COMPLAINTS (INCLUDES NON-REGISTERED FIRMS AND FILE/TECHNICAL ASSISTANCE)	AC	2	AC+2		AC=FINAL DISPOSITION OF THE COMPLAINT. INCLUDES COMPLAINTS ABOUT ENTITIES REGULATED BY DSHS. (FOR COMPLAINTS ABOUT DSHS-HEALTH CARE QUALITY SECTION SEE #6282)
1.1.004	6281	BIENNIAL BUDGET REQUESTS (INCLUDES LEGISLATIVE APPROPRIATIONS)	AC	6	AC+6	A	INCLUDES SUPPORTING DOCUMENTATION TO JUSTIFY AND SUPPORT REQUEST. AC=SEPT 1 OF ODD-NUMBERED CALENDAR YEARS. ONLY COPIES OF SUPPORTING DOCUMENTATION SUBMITTED TO THE LEGISATIVE BUDGET BOARD ARE ARCHIVAL
1.1.006	6282	COMPLAINT FILES	AC	2	AC+2		COMPLAINTS RECEIVED BY DSHS FROM THE PUBLIC CONCERNING DSHS. (DOES NOT APPLY TO ENTITIES REGULATED BY DSHS. FOR THESE COMPLAINTS, SEE #6283) AC=DISPOSITION OF THE COMPLAINT
1.1.007	6284	CORRESPONDENCE, ADMINISTRATIVE (INCLUDES ADVISORY COMMITTEE CORRESPONDENCE/NOTES) (LIMITED TO FORMULATION, PLANNING, IMPLEMENTATION, INTERPRETATION, MODIFICATION, OR REDEFINITION OF THE PROGRAMS, SERVICES OR PROJECTS & THE ADMINISTRATIVE REGULATIONS, POLICIES AND PROCEDURES THAT GOVERN THEM.)	4		4	R	Vital Record. ONLY ADMINISTRATIVE CORRESPONDENCE OF EXECUTIVE STAFF, BOARD OR COMMISSION MEMBERS, DIVISION DIRECTORS AND SECTION/UNIT/BRANCH HEADS REQUIRE ARCHIVAL REVIEW.
1.1.008	6285	GENERAL CORRESPONDENCE (LIMITED TO DOCUMENTING THE ROUTINE OPERATIONS OF THE POLICIES, PROGRAMS, SERVICES OR PROJECTS.)	2		2		INCLUDES SOME E-MAIL

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PM - Permanent

MO - Months
DA -Days

ARCHIVAL CODES (Field 8)

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599 - HEALTH CARE QUALITY SECTION-ADMINISTRATIVE

1.1.010	6286	DIRECTIVES-ISSUANCES REGARDING GENERAL ADMINISTRATIVE AND OFFICE PROCEDURES	US+1	US+1				
1.1.013	6287	CALENDARS, APPOINTMENT AND ITINERARY RECORDS	CE+1	CE+1	R	INCLUDES OUTLOOK CALENDAR. ONLY CALENDARS, APPOINTMENT, AND ITINERARY RECORDS OF EXECUTIVE STAFF, BOARD OR COMMISSION MEMBERS, DIVISION DIRECTORS AND SECTION/UNIT/BRANCH HEADS REQUIRE ARCHIVAL REVIEW.		
1.1.014	6288	LEGAL OPINIONS AND ADVICE	AV	AV	R			
1.1.019	6289	NEWS OR PRESS RELEASES	2	2		SEND PAPER OR MICROFILM COPIES TO THE STATE ARCHIVES.		
1.1.020	6290	PUBLIC INFORMATION REQUESTS - NOT EXEMPTED	AC+1	AC+1		AC=DATE REQUEST IS FULFILLED; INCLUDES WRITTEN REQUESTS FOR PUBLICATIONS (TEXAS GOVT CODE 552.002)		
1.1.021	6291	PUBLIC INFORMATION REQUESTS - EXEMPTED (DENIED)	AC+2	AC+2		AC=DATE OF DENIAL OF REQUEST		
1.1.024	6292	DATA PROCESSING PLANNING/SPECIAL PROJECTS RECORDS	AC+3	AC+3		AC=DECISION MADE TO IMPLEMENT OR NOT TO IMPLEMENT RESULT OF PLANNING PROCESS. (DATA PROCESSING PLANNING RECORDS ARE NOT ARCHIVAL.)		
1.1.024	6293	PLANS AND PLANNING RECORDS	AC+3	AC+3		AC=DECISION MADE TO IMPLEMENT OR NOT TO IMPLEMENT RESULT OF PLANNING PROCESS. (DATA PROCESSING PLANNING RECORDS ARE NOT ARCHIVAL.)		

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1.1.026	6294	PROOF OF PUBLICATION-INCLUDES INVITATION TO BID, AUCTIONS, MEETINGS, TEXAS REGISTER SUBMISSIONS, ETC.	AC+1		AC+1		AC=DATE OF PUBLICATION	
1.1.027	6295	PROPOSED LEGISLATION (INCLUDES DRAFTS OR BILLS-RELATED CORRESPONDENCE)	AV		AV			
1.1.038	6296	CUSTOMER SURVEYS	AC		AC		AC=FINAL DISPOSITION OF SUMMARY REPORT. (SURVEYS CANNOT BE DESTROYED UNTIL SUMMARY REPORT HAS BEEN SENT TO STATE ARCHIVIST AT THE END OF THE RETENTION PERIOD.) SEE 1.1.067 FOR SUMMARY REPORTS COMPILED FROM CUSTOMER SURVEYS.	
1.1.040	6297	SPEECHES AND PAPERS	AC		AC	R	AC=END OF TERM IN OFFICE OR TERMINATION OF SERVICE IN A STATE POSITION.	
1.1.043	6298	TRAINING MATERIALS	US+1		US+1			
1.1.048	6299	LITIGATION FILES	AC+1		AC+1	R	AC=DISMISSAL/DROPPING/CONCLUSION OF CASE. (CASES THAT SET LEGAL PRECEDENT OR EXHIBIT HISTORICAL VALUE WILL BE EVALUATED BY STATE ARCHIVIST FOR ARCHIVAL PRESERVATION.)	
1.1.057	6300	TRANSITORY INFORMATION	AC		AC		AC=PURPOSE OF RECORD HAS BEEN FULFILLED. INCLUDES TELEPHONE MESSAGE NOTIFICATIONS & SOME E-MAIL CONTAINING ROUTINE INFORMATION USED FOR COMMUNICATION, BUT NOT FOR THE DOCUMENTATION OF A SPECIFIC AGENCY TRANSACTION.	
1.1.058	6301	MEETING AGENDAS AND MINUTES (INCLUDES ADVISORY COMMITTEE MEETINGS AND PUBLIC MEETINGS)	PM		PM	A	AGENCY RETAINS PERMANENT RECORD COPY. SEND COPY TO STATE ARCHIVIST.	

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1.1.059	6302	CERTIFIED AGENDA OR TAPE RECORDINGS OF CLOSED MEETINGS	AC+2	AC+2			AC=THE DATE OF THE MEETING OR COMPLETION OF PENDING ACTION INVOLVING THE MEETING, WHICHEVER IS LATER.
1.1.060	6303	MEETINGS, AUDIO OR VIDEOTAPES OF OPEN	AC+90DA	AC+90DA			AC=OFFICIAL APPROVAL OF WRITTEN MINUTES OF THE MEETING BY THE GOVERNING BODY OF AN AGENCY.
1.1.061	6304	MEETING - NOTES (INCLUDING ADVISORY COMMITTEE NOTES)	AC+90DA	AC+90DA			AC=APPROVAL OF THE FORMAL MINUTES BY THE GOVERNING BODY.
1.1.062	6305	MEETINGS - SUPPORTING DOCUMENTATION	2	2	A		
1.1.063	6306	STAFF MEETING MINUTES AND NOTES	1	1			
1.1.064	6307	PERFORMANCE MEASURES DOCUMENTATION	FE+3	FE+3			Vital Record. DOCUMENTATION OF OUTPUT, OUTCOME, EFFICIENCY AND EXPLANATORY MEASURES IN AGENCY'S APPROPRIATIONS REQUEST OR STRATEGIC PLAN & PERFORMANCE MEASURES TO MANAGE AGENCY.
1.1.065	6308	REPORTS AND STUDIES (NON FISCAL) - RAW DATA	AV	AV			
1.1.066	6309	REPORTS-BIENNIAL OR ANNUAL AGENCY (NARRATIVE)	AC+6	AC+6	A		AC=SEPT 1 OF ODD-NUMBERED CALENDAR YEARS.
1.1.067	6310	REPORTS & STUDIES (ADMINISTRATIVE, EDUCATION, AND TRAINING) (NON-FISCAL, ANNUAL/QUARTERLY)	3	3	R		IF REPORT HAS HISTORICAL RELEVANCE, DO NOT DESTROY REPORT BUT SEND IT TO THE STATE ARCHIVIST AT THE END OF THE RETENTION PERIOD.

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1.1.068	6311	REPORTS - PERFORMANCE AND FUND MANAGEMENT	AC+6		AC+6		AC=SEPT 1 OF ODD-NUMBERED CALENDAR YEARS. QUARTERLY AND ANNUAL REPORTS ON AGENCY PERFORMANCE MEASURES SUBMITTED TO EXECUTIVE AND LEGISLATIVE OFFICES.
1.1.069	6312	REPORTS - ACTIVITY OR WORKLOAD MONITORING	1		1		
1.1.070	6313	RULES, POLICIES, MANUALS AND PROCEDURES (INCLUDES POLICY LETTERS AND STANDARD OPERATING PROCEDURES - FINAL	AC+3		AC+3	R	AC=COMPLETION OR TERMINATION OF PROGRAM, POLICIES OR PROCEDURES.
1.1.071	6314	RULES, POLICIES AND PROCEDURES - WORKING FILES	AC+3		AC+3	R	AC=COMPLETION OR TERMINATION OF PROGRAM, POLICIES OR PROCEDURES.
1.2.003	6315	FORMS HISTORY FILE	AC+1		AC+1		AC=DISCONTINUANCE OF USE OF FORM
1.2.004	6316	FORMS INVENTORY	US		US		OFFICIAL RECORD COPY KEPT AND MAINTAINED IN DIVISION; EACH UNIT MAINTAINS A CONVENIENCE COPY.
1.2.006	6317	RECORDS TRANSMITTAL FORMS	AC+2		AC+2		AC=DATE OF AUTHORIZATION FOR DESTRUCTION OR TRANSFER
1.2.013	6318	RECORDS CONTROL MATERIALS	AC		AC		AC=WHEN CONTROL AID IS UPDATED, REVISED, OR NO LONGER NEEDED.

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1.3.001	6319	PUBLICATIONS (INCLUDES WEB)	AC+2	AC+2			AC=UNTIL SUPERSEDED OR OBSOLETE. WEB PUBLICATIONS ARE MADE AVAILABLE ONLINE TO PUBLIC FOR AT LEAST SIX MONTHS. 13 TAC RULE 3.4(B). THEN RETAINED TO MEET THEIR RECORDS SERIES' RETENTION PERIOD OR THE PERIOD FOR PUBLICATIONS, WHICHEVER IS LONGER. REQUIRED NUMBER OF COPIES PRINTED AT HHS PRINTING ARE SENT TO CLEARINGHOUSE. IF OUTSIDE PRINTER, PROGRAM MUST SEND REQUIRED NUMBER OF COPIES TO HHS PRINTING FOR SUBMISSION TO CLEARINGHOUSE.
1.3.002	6320	PUBLICATION DEVELOPMENT FILES	AV	AV	R		
2.1.007	6321	PROGRAM & JOB CONTROL LANGUAGE	AC	AC			Vital Record. AC=UNTIL ELECTRONIC RECORDS ARE TRANSFERRED TO AND MADE USABLE IN A NEW SOFTWARE ENVIRONMENT OR THERE ARE NO ELECTRONIC RECORDS BEING RETAINED TO MEET AN APPROVED RETENTION PERIOD THAT REQUIRE THE SOFTWARE TO BE RETRIEVED AND READ. 13 TAC 6.94
2.1.009	6322	OPERATING SYSTEM FILES AND DOCUMENTATION	AC	AC			Vital Record. AC=UNTIL ELECTRONIC RECORDS ARE TRANSFERRED TO AND MADE USABLE IN A NEW SOFTWARE ENVIRONMENT OR THERE ARE NO ELECTRONIC RECORDS BEING RETAINED TO MEET AN APPROVED RETENTION PERIOD THAT REQUIRE THE SOFTWARE TO BE RETRIEVED AND READ. 13 TAC 6.94
2.2.016	5995	SOFTWARE REGISTRATIONS, WARRANTIES, AND LICENSE AGREEMENTS	LA+3	LA+3			Vital Record.

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3.1	6716	POSITIVE PERFORMANCE RECORDS (MAINTAINED BY SUPERVISORS)	AC		AC		AC=FIRST LEVEL REMINDER IS 3 MONTHS; SECOND LEVEL REMINDER IS 6 MONTHS WITH A COPY TO EMPLOYEE'S MASTER EMPLOYEE FILE; THIRD LEVEL REMINDER IS 12 MONTHS WITH A COPY TO EMPLOYEE'S MASTER EMPLOYEE FILE. BEGINING AUGUST 2005 SUPERVISORS USE Employee Development Notes IN CAPPS TO DOCUMENT SECOND AND THIRD LEVEL REMINDERS, BUT A PAPER COPY IS STILL FORWARDED TO HHSC HR FOR EMPLOYEE'S MASTER PERSONNEL FILE.	
3.1.006	6324	EMPLOYEE COUNSELING RECORDS	AC+3		AC+3		AC=TERMINATION OF COUNSELING. KEEP THIS RECORD SEPARATE FROM PERFORMANCE APPRAISAL.	
3.1.013	6325	CONTRACT LABOR RECORDS	AC+7		AC+7		Vital Record. AC=TERMINATION OF CONTRACT	
3.1.014	6326	EMPLOYMENT SELECTIONS (INCLUDES INTERVIEW NOTES AND DOCUMENTATION OF SELECTION PROCESS; APPLICATIONS FOR EMPLOYMENT-NOT HIRED)	2		2		Vital Record maintained by CAPPS only. Send all records to CAPPS. CAPPS HAS FULLY ASSUMED THIS FUNCTIONALITY AS OF SEPT 2006.	
3.1.018	6327	GRIEVANCE RECORDS	AC	2	AC+2		Vital Record maintained only by HHS-Civil Rights.. MAY CONTAIN CONFIDENTIAL DATA; AC=FINAL DECISION ON GRIEVANCE. BECAUSE OF CONSOLIDATION OF HUMAN RESOURCES IN HHS ENTERPRISE, MAINTAINED IN HHS-CIVIL RIGHTS	

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3.1.019	6328	PERFORMANCE APPRAISALS / JOURNALS	AC+5	AC+5	MAY CONTAIN SOME CONFIDENTIAL INFORMATION SUCH AS MEDICAL INFORMATION, SOCIAL SECURITY NUMBER, OR OTHER DATA PROTECTED BY THE PRIVACY DOCTRINE. AC=TERMINATION OF EMPLOYEE. CAPPs ASSUMED THIS FUNCTIONALITY IN AUGUST 2005. HHS-HR MUST RECEIVE ALL PERFORMANCE APPRAISALS THAT ARE NOT ALREADY IN CAPPs. HHS-OGC REQUESTED LONGER RETENTION PERIOD.
3.1.023	6332	POSITION / JOB DESCRIPTIONS	AC+4	AC+4	Vital Record. AC=UNTIL SUPERSEDED OR JOB ELIMINATED. AccessHR ASSUMED THIS FUNCTIONALITY IN AUGUST 2005.
3.2	6333	PAYROLL WARRANT LISTINGS	FE+5	FE+5	SIGNED CHECK RECEIPTS FOR PAYROLL; SIGNED COPY SENT TO DIVISION
3.2	6334	PAYROLL AFFIDAVIT CERTIFICATIONS & WARRANT LISTINGS	FE+5	FE+5	Vital Record.
3.3	6335	TRAINING SUPPORT DOCUMENTATION	AC+2	AC+2	AC=COMPLETION OF CLASS.
3.3.023	6336	TRAVEL AUTHORIZATION REQUESTS	FE+3	FE+3	EMPLOYEE TRAVEL REQUEST, ADVANCES, COPIES OF VOUCHERS. TRAVEL OFFICE ASSUMED RETENTION OF THIS RECORD BEGINNING OCTOBER 2005.
3.3.023	6337	REQUESTS FOR REIMBURSABLE ACTIVITIES (NOT TRAVEL REQUESTS)	FE+3	FE+3	REGISTRATION FOR CLASSES, UNENCUMBERED TRAINING / CONFERENCE / MEMBERSHIP FEES, ETC. SEE 6336 FOR TRAVEL REQUESTS.
3.3.026	6338	EMPLOYEE LISTINGS	US+3	US+3	

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3.3.030	6340	TRAINING ADMINISTRATION RECORDS	US+2	US+2			(MATERIALS AND RECORDS FOR INHOUSE TRAINING OF AGENCY PERSONNEL OF POLICES AND PROCEDURES.) TRAINING MATERIAL NOT FOUND IN TRAIN OR CAPPs. (DOES NOT INCLUDE HAZARDOUS MATERIAL TRAINING RECORDS).
3.4.001	6341	ACCUMULATED LEAVE ADJUSTMENT REQUESTS	FE+5	FE+5			
3.4.004	6343	OVERTIME AUTHORIZATION	FE+5	FE+5			BEGINNING OCTOBER 2005, RECORDS KEPT IN CAPPs.
3.4.007	6345	TIME OFF AND/OR SICK LEAVE REQUESTS	FE+5	FE+5			BEGINNING OCTOBER 2005, RECORDS KEPT IN CAPPs.
3.4.008	6346	SICK LEAVE POOL DOCUMENTATION	FE+5	FE+5			
4.1.001	6347	ACCOUNTS PAYABLE INFORMATION	FE+3	FE+3			
4.1.004	6348	ENCUMBRANCE DETAIL	FE+3	FE+3			
4.1.005	6349	INVENTORY AND OTHER COST FILES	FE+3	FE+3			
4.1.007	6350	TRANSFERS OR BUDGET REVISIONS (FUNDS TRANSMITTAL FORMS)	FE+3	FE+3			
4.2	6351	DAILY REMITTANCE / CASH RECEIPTS	AC	AC			AC=CASH RECEIPTS DESTROYED WHEN VERIFIED ON THE DAILY REMITTANCE LIST THAT COMES FROM FISCAL.
4.2.007	6352	EXPENDITURE VOUCHERS	FE+3	FE+3			PURCHASE VOUCHERS. SEE #6353 FOR TRAVEL VOUCHERS.

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4.2.007	6353	TRAVEL VOUCHERS	FE+3		FE+3		TRAVEL OFFICE ASSUMED RETENTION OF THIS RECORD BEGINNING OCTOBER 2005.	
4.3.002	6354	RECEIPTS JOURNALS OR REGISTERS	FE+3		FE+3			
4.3.003	6355	BUDGET REPORTS (INCLUDES EXPENDITURE JOURNALS/REGISTERS)	FE+3		FE+3			
4.5.001	6356	WORKSHEETS FOR PREPARING FISCAL REPORTS	FE+3		FE+3			
4.5.002	6357	INTERNAL FISCAL MANAGEMENT REPORTS (INCLUDES MONTHLY & ANNUAL)	FE+3		FE+3			
4.6.001	6359	MONTHLY BALANCING RECORDS	FE+3		FE+3			
4.7.007	6360	DETAIL CHART OF ACCOUNTS	FE+3		FE+3			
4.7.012	6361	SIGNATURE AUTHORIZATIONS	US+FE+3		US+FE+3			
5.1.001	1187	CONTRACTS & LEASES	AC	7	AC+7		Vital record. AC=EXPIRATION OR TERMINATION OF THE INSTRUMENT ACCORDING TO ITS TERMS	05-537-307 (Prof Lic)
5.1.004	6362	MAILING, ADDRESS & TELEPHONE LISTINGS	US		US			
5.1.005	1189	POSTAGE EXPENSE REPORTS	FE+3		FE+3			
5.1.007	6363	REQUISITIONS FOR IN-AGENCY / INTERAGENCY COPY / PRINTING SERVICE	AV		AV			
5.1.011	6364	FAX / COPIER USE LOGS	AV		AV			

RETENTION CODES (Field 7)

AC - After Closed, Terminated, Completed, Expired, Settled
 AV - As Long As Administratively Valuable
 US -Until Superseded
 CE - Calendar Year End
 FE - Fiscal Year End
 LA - Life of Asset
 PM - Permanent

MO - Months
 DA -Days

ARCHIVAL CODES (Field 8)

A - Transfer to State Archivist
 R - Review by StateArchivist
 E - Exempt from sending

VITAL Record (Include in Field 9)

State of Texas
Records Retention Schedule

Recertified: 5/23/2012 **Updated (with or without**
Amendment Approved: 2/19/2014 **amendment): 10/3/2017**

___ ORIGINAL SUBMISSION
X RECERTIFICATION
___ REPLACEMENT PAGE
___ ADDENDUM PAGE

Automated Facsimile of SLR-105

2. Agency Code: 537 3. Agency: Texas Department of State Health Services

4. Records Series Item #	5. Agency Item #	6. Records Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.
			Agency	Storage	Total			

599 - HEALTH CARE QUALITY SECTION-ADMINISTRATIVE

5.1.015	6365	CORRESPONDENCE TRACKING RECORDS / MAILING LOGS (INCLUDES US POSTAL SERVICE OR PRIVATE CARRIERS)	1		1			
5.2.008	6367	COMPUTER HARDWARE MAINTENANCE RECORDS	LA+3		LA+3			
5.2.010	6368	EQUIPMENT MANUALS	LA		LA			
5.2.011	6369	EQUIPMENT WARRANTIES	AC	1	AC+1		AC=EXPIRATION OF WARRANTY	
5.2.016	6370	INVENTORY SYSTEM UPDATE LISTINGS	AC		AC		AC=TRANSFER OF INFORMATION INTO ANNUAL LISTING	
5.3	6371	PROCUREMENT CARD PURCHASES SUPPORTING DOCUMENTATION	FE+3		FE+3			
5.3.008	6372	PURCHASING LOG	FE+3		FE+3			
5.3.009	6373	REQUESTS FOR INFORMATION (PRELIMINARY TO PROCUREMENT OF GOODS OR SERVICES)	AC		AC		AC=DATE OF DIRECT PURCHASE, ISSUANCE OF REQUEST FOR BIDS OR DECISION NOT TO PROCEED WITH THE PROCUREMENT, AS APPLICABLE.	
5.5.001	6374	BILLING DETAIL - TELECOMMUNICATIONS	FE+3		FE+3		CELL PHONE USAGE FOR PROGRAMS	
5.5.002	6375	LONG DISTANCE TELEPHONE LOGS	AV		AV			
5.5.007	6376	DISPUTED CALL DOCUMENTATION	FE+3		FE+3			

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