



February 7, 2019

Royce LeMoine
Deputy Director
State Commission on Judicial Conduct
300 W. 15th Street, Suite 415
Austin, TX 78701

Re: Agency records retention schedule approved for use.

Dear Mr. LeMoine,

Your agency's records retention schedule is approved for use as of February 4, 2019. Your currently approved records retention schedule is available on our website at <https://www.tsl.texas.gov/slrn/state/schedules.html>. Please ensure that all old copies of the schedule are superseded with this recertified copy.

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

Each agency schedule must be reviewed, updated and submitted for recertification annually for the first two years after the initial approval of the schedule and every five years thereafter. The deadline for submission of your schedule for its next recertification is the last working day of February, 2024.

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

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

Commission Chairman
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Members

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Larry G. Holt
Arthur T. Mann
Darryl Tocker
Martha Wong

Director and Librarian
Mark Smith

Assistant State Librarian
Gloria Meraz

TSLAC

*Preserving yesterday
Informing today
Inspiring tomorrow*



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 24.2

Agency Name State Commission on Judicial Conduct

(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

Royce LeMoine

Name *(Print or type)*

Royce LeMoine

Date

5-14-18

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)

Not Required at This Time

Signature

Name *(Print or type)*

Date

Texas State Library and Archives Commission

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

Signature

Gloria Meraz

Name *(Print or type)*

Gloria Meraz

Date

2/4/19

Cert/Recert No.

9

Amendment No.

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CAUTION

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

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





STATE OF TEXAS
Records Retention Schedule

SLR 105
 Rev. 2017-07

Retention Codes (field 7)

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

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

Archival Codes (Field 10)

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

1. Agency Code: 242		2. Agency Name: State Commission on Judicial Conduct									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
1	1.1	Case Files		AC	20			AC = After case is disposed.			Confidential under Art. 5, Sec. 1- a(10) of the TX Const. and CH 33 of the TX Govt. Code.
2	1.1	Case File Reports	Includes Judge's History in Electronic form which is retained during the life of the judge.	US							
3	1.1	Case File Data Verification Forms	Documents used to verify accuracy of agency performance measures.	FE	3						
4	1.1.059	Agenda - Closed Meeting		AC	2			AC=The date of the meeting or completion of pending action involving the meeting, whichever is later.			
5	1.1.059	Minutes - Closed Meeting		AC	2			AC=The date of the meeting or completion of pending action involving the meeting, whichever is later.			
6	1.1	Meeting Brief Books		AC	2			AC=The date of the meeting or completion of pending action involving the meeting, whichever is later.	A		
7	1.1	Recordings of Personal Appearances		AC	20			AC = After case is disposed.		Cassette Tapes and Digital Recordings	



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8	1.1	Public Records, Sanctions, and Proceedings 1987 to Present		AC	5			AC = After case is disposed.	A	Open records as defined in Ch. 33, Sec. 33.032 of the TX Govt. Code. Files transferred to State Archives at end of retention period on an annual basis. Includes paper, audio cassettes, and electronic files.	
9	1.1.002	Audits		AC	7			AC = Publication or release of final audit findings.		State Auditor's Office retains the permanent record copy.	
10	1.1.004	Legislative Appropriation Requests		AC	6			AC = September 1 of odd-numbered calendar years.	A	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. Archives Report 1996.	



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11	1.1.007	Correspondence, Administrative			4				R	CAUTION: Use only for correspondence not included in or directly related to another records series (see 1.1.011). Only the administrative correspondence of executive staff, board or commission members, division directors and program heads require archival review. Contact the State Archives when these records have met their retention periods.	
12	1.1.008	Correspondence, General			2						
13	1.1.010	Directives		US	3						



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14	1.1.013	Desk Calendars/Appointment Books		CE	1				R	Medium = Paper and electronic format. 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 1995 by the Attorney General. 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.	
15	1.1.014	Legal Opinions and Advice		AV					R	Some may qualify as open.	
16	1.1.020	Pub. Information Requests – Not Exempted		AC	1			AC = Dated request fulfilled.			
17	1.1.021	Pub. Information Requests – Exempted		AC	2			AC = Date of notification that records are exempt.			



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18	1.1.023	Organization Charts		US					A	Included in Biennial Budget Request. Archival requirement met by sending copy to Publications Clearinghouse.	
19	1.1.070	Agency Rules, Policies and Procedures- Final		US	3				R		
20	1.1.071	Agency Rules, Policies and Procedures- Working Files		US	3				R		
21	1.1.040	Speeches/Papers		AC				AC = End of term in office or termination of service in a state position.	R		
22	1.1.043	Training Manuals		US	1						
23	1.1.048	Litigation Files		AC	5			AC = As applicable, decision of any 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 a court on appeal, if applicable) in a lawsuit.	R	Cases that set legal precedent or exhibit historical value will be evaluated by the Archives and Information Services Division of the Texas State Library and Archives Commission for archival preservation.	



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24	1.1.055	Strategic Plans		AC	6			AC = September 1 of odd-numbered calendar years.	A	The archival requirement is met by sending the required copies of the plans to the Texas State Publications Depository Program, Texas State Library Archives Commission.	
25	1.1.057	Transitory Information	Records of temporary usefulness that are not an integral part of a records series such as routine messages (either message slips or e-mail or voice mail), internal meeting notices and routine information used for communication, but not for documentation, of a specific agency transaction.	AC				AC = Purpose of record as been fulfilled.		Medium = Paper and electronic format. CAUTION: Records are not a part of another records series listed in this schedule and are not a part of a records series that documents the fulfillment of agency statutory obligations or documentation of agency functions. Disposal does not need to be documented through destruction sign-offs or in records disposition logs.	
26	1.1.064	Agency Performance Measures Documentation		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.	



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27	1.1.066	Annual Report, Non-Fiscal Record Copy		AC	6				A	AC = September 1 of odd-numbered calendar years. The archival requirement is met by sending the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission.	
28	1.1.068	Reports - Reports on Performance Measures		AC	6			AC = September 1 of odd-numbered calendar years.			
29	1.2.001	Destruction Authorizations	Destruction Sign-Offs	FE	3						
30	1.2.003	Data Sheet Forms History		AC	1			AC = Discontinuance of use of form.			
31	1.2.005	Records Retention Schedule - Agency Copy		US						Original retained by Records Management Division.	
32	1.2.006	Records Transmittal Forms (Agency Storage Copy)		AC	2			AC = After destruction date of youngest file listed on form.			
33	1.2.010	Records Disposition Log			10						
34	1.2.011	Record Center Storage Approval Forms (RMD 106)		US						Original retained by Records Management Division.	
35	1.2.012	Records Inventory Worksheets		US							
36	1.2	Records Delivery Receipts		AC	2			AC = Return of records to Records Center.			



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37	1.3.002	Publication Development Files		AV					R		
38	2.1.002	Master Files - Case Files		AC				AC = Completion of 3rd verification cycle, or audit completion confirming successful transaction updates, or required audit trail maintenance, or the ability to restore or migrate when errors are detected or when hardware or software changes occur.		Paper source documents (Item #1.1 - Case files) are maintained for a total retention period of AC+20.	
39	2.1.007	Software Programs and Job Control Language		AC				AC = Until electronic records are transferred to and made usable in a new software environment or there are no electronic records being retained to meet an approved retention period that require the hardware to be retrieved and read.		CAUTION: If an electronic record is scheduled for permanent retention, software needed for access to the record must also be retained permanently.	13 TAC 6.94.
40	2.1.010	Data Processing Policies and Procedures -- System Back Up Policies, Procedures and Log		AC				AC = All audit requirements have been met.		Medium = Paper and Electronic.	



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41	2.1.008	Hardware Documentation		AC				AC = Until electronic records are transferred to and made usable in a new hardware environment or there are no electronic records being retained to meet an approved retention period that require the hardware to be retrieved and read.		CAUTION: If an electronic record is scheduled for permanent retention, hardware documentation needed for access to the record must also be retained permanently.	13 TAC 6.94.
42	3.1.001	Applications for Employment - Not Hired.	Includes Job Postings.		3						29 CFR 1602.31
43	3.1.002	Applications for Employment - Hired		AC	5			AC = Termination of employment.			
44	3.1.011	Employee Insurance Records		US						CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item number 3.2.001.	
45	3.1.013	Employment Contracts		AC	7			AC = Termination of employment.			29 CFR 516.5
46	3.1.014	Employee Selection Records			2						29 CFR 1602.31
47	3.1.018	Grievance Records		AC	2			AC = Final decision on the grievance.			
48	3.1.019	Performance Appraisals			3						29 CFR 1620.32(c)



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49	3.1.023	Position/Job Description		AC	4		AC = Until superseded or job eliminated.			40 TAC 815.106(i)	
50	3.1.031	Employee's Benefits - Other than Insurance		AC	2		AC = Until superseded or termination of employment.		CAUTION: Documents that serve as payroll deduction authorization must be maintained for the retention period prescribed for item number 3.2.001.		
51	3.1.034	Resumes - Unsolicited			1						
52	3.1.029	Employment Eligibility, Documentation or Verification of	(Documentation of Citizenship; Federal Reporting Form INS 1-9).	AC	1		AC = Termination of employment.		CAUTION: Federal regulation requires that INS 1-9 forms be retained for 3 years from date of hire or 1 year after separation of the employee, whichever later. Agencies should make certain that the INS 1-9 forms for employees who terminate from an agency less than 3 years from date of hire are kept for the 3 years retention period.	8 CFR 274a.2(b)(2)(i)(A) and (c)(2).	
53	3.2.001	Employee Deduction Authorization		AC	4		AC = After termination of employee or after amendment, expiration, or termination of authorization, whichever sooner.				
54	3.2.002	Employee Earning Records			4					40 TAC 815.106(i)	



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55	3.2.003	Federal Tax Records (1099, W2 and other tax)		AC	4			AC= Tax due date, date claim is filed, or date tax is paid whichever is later.			26 CFR 31.6001-1(e)(2)
56	3.2.004	Income Adjustment Authorization			2						29 CFR 516.6(c)
57	3.2.005	W-4 Forms		AC	4			AC = Until superseded, obsolete, or upon separation of employee.			26 CFR 31.6001-5
58	3.2.008	Direct Deposit Application/Authorization		US							
59	3.2.009	State Deferred Compensation		AC	5			AC = All accounts with a vendor or vendors for the individual participant have been closed.		See current edition of the Agency Coordinator Procedures Manual issued by the Employment Retirement System of Texas (ERS).	
60	3.2.010	Human Resources Information System (HRIS) Reports		AC	4			AC = Current year report – end of one (1) year.			
61	3.3	Personnel Files		AC	5			AC = Termination of employment.			
62	3.3.001	Affirmative Action Plans			5						
63	3.3.004	Benefit Plans		US	1						29 CFR 1627.3(b)(2)



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64	3.3.011	Former Employee Verification Records	Minimum information to verify employment, includes name, social security number, exact dates of employment, and last known address.	AC	75			AC = Termination of employment.			
65	3.3.022	Texas Workforce Commission (TWC) Reports			3						
66	3.3.023	Reimbursable Activities, Requests and Authorizations to Engage in Travel.	Educational Programs; Workshops; or Other Work-Related Activities for which the Expenses of the Employee are Defrayed or Reimbursed.	FE	3						
67	3.3.024	Personnel Policies and Procedures		US	3						
68	3.3.025	Job Procedures Records		US	3						
69	3.3.030	Training Administration Records		US	2					CAUTION: Does not include hazardous material training records. See Item No. 5.4.007.	
70	3.3.026	Agency Staffing Reports	Quarterly FTE Reports to State Auditor	US	3						



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71	3.3.031	EEO Reports and Supporting Documentation		US	3						29 CFR 1602.30, 1602.32, 1602.39, 1602.41, 1602.48, and 1602.50.
72	3.4.002	Leave Status Reports		FE	3						
73	3.4.004	Overtime Authorization			2						
74	3.4.006	Time Sheets			4						40 TAC 815.106(i)
75	3.4.007	Time Off/Sick Leave Reports		FE	3						
76	4.1.001	Accounts Payable Information		FE	3						
77	4.1.005	Inventory and Other Costs Files		FE	3						
78	4.1.007	Transmittal of Funds/Cost Center Transfers		FE	3						
79	4.2.001	Cash Deposit Vouchers		FE	3						
80	4.2.005	Purchase Vouchers		FE	3						
81	4.2.007	Expenditure Vouchers (Travel, Payroll, etc.)		FE	3						
82	4.3.003	Expenditures		FE	3						
83	4.4.001	General & Subsidiary Ledger		FE	3						
84	4.5.001	Worksheets for Preparing Reports		FE	3						
85	4.5.002	Internal Fiscal Management Reports		FE	3						



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86	4.5.003	Annual Financial Reports		AC	6			AC = September 1 of odd numbered calendar years.		CAUTION: If an agency does not produce a biennial or annual narrative report as described in item number 1.1066, then these annual financial reports must be marked with Archival Code A. The archival requirement, when a biennial or annual narrative report is not produced, is met by sending the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission.	
87	4.5.006	Annual Operating Budget		FE	3						
88	4.6.002	Reconciliations	Includes Tex- Flex Reports	FE	3						
89	4.7.006	Comptroller's Statements		FE	3						
90	4.7.008	State Grant Information		AC	3			AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (the Common Rule).			
91	4.7.004	Capital Asset Records		LA	3						



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92	4.7.011	General Services Commission Statements		FE	3						
93	4.7.012	Signature Authorizations		AC	3			AC=End of fiscal year in which record is superseded.			
94	5.1.001	Contracts and Leases		AC	7			AC = Termination of contract/lease.			
95	5.1.004	Mail and Telecommunication Listings		US						Medium = Electronic and paper.	
96	5.1.005	Postage Meter Records		FE	3						
97	5.1.014	Office Procedures		US	1						
98	5.1.015	Correspondence Tracking Records	Telephone Complaint Log		1						
99	5.2.008	Equipment History File	Equipment Service Agreements	LA	3						
100	5.2.010	Equipment Manuals		LA							
101	5.2.014	Inventory, Annual Physical		FE	3						
102	5.2.015	Notice of Equipment Removed from Inventory		FE	3						
103	5.2.019	Service Order			1						
104	5.2.021	Surplus Property Sale		FE	3						
105	5.2.023	Year-to-Date Activity (Inventory Listing)		FE	3						
106	5.3.007	Bid Documentation		AC	7						



STATE OF TEXAS
Records Retention Schedule

SLR 105
 Rev. 2017-07

Retention Codes (field 7)

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

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

Archival Codes (Field 10)

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

1. Agency Code: 242			2. Agency Name: State Commission on Judicial Conduct								
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
107	5.4.001	Accident Reports and Associated Documentation		CE	5						29 CFR 1904.33
108	5.4.007	Hazardous Materials Training Records			5						Required by Worker's Compensation Commission. Texas Health and Safety Code, §502.009(g).
109	5.4.012	Security Access Records		AC	2			AC = Until superseded, date of expiration, or date of termination, whichever sooner.			
110	5.4.013	Disaster Preparedness and Recovery Plan		US							
111	5.5.001	Billing Detail - Telecommunications - (Other than Tex-An)		FE	3						
112	5.5.006	Billing Detail - Telecommunications - (Tex-An)		FE	3						
113	5.6.004	License and Driving Record Checks		AC				AC = Until superseded or until termination of employment.			
114	1.1.027	Legislative Concerns		AV						Set forth in the Agency's LARs and Annual Report.	