



July 1, 2014

Mr. Stephen Quick
Records Management Officer
Texas Comptroller of Public Accounts
111 East 17th Street
LBJ Office Building
Austin, TX 78774

RE: Agency records retention schedule approved for use

Dear Mr. Quick:

Your agency's records retention schedule is approved for use as of June 27, 2014. Your currently approved records retention schedule is available on our website at <https://www.tsl.state.tx.us/slrn/state/schedules.html>. Please ensure all old copies of the schedule are superseded with this recertified copy.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. We urge on you the importance of disposing of the records of your agency in a timely manner in accordance with the retention periods on your schedule. 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 triennially thereafter. The deadline for submission of your schedule for its next recertification is the last working day of **June 2017**.

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, Bret Adams, at 512-936-0270 or badams@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: State Auditor, State Archivist, Susan Combs

State and Local
Records Management

P.O. Box 12927
Austin, Texas
78711.2927

4400 Shoal Creek Blvd.
Austin, Texas
78756

www.tsl.texas.gov

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*Preserving yesterday,
informing today,
inspiring tomorrow.*

R01.304/304



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 304
Texas Comptroller of Public
Agency Name Accounts

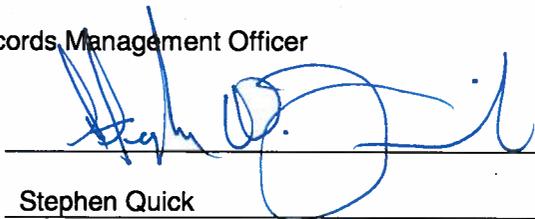
(Check one)

- 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 

Name *(Print or type)* Stephen Quick

Date December 12, 2013

Section 2. Approvals

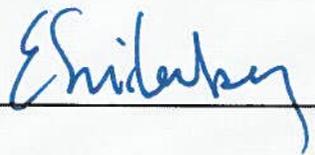
(Submitting agencies do not write in this section)

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

Signature _____
Name *(Print or type)* _____
Date _____

Not Required at This Time

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

Signature 
Name *(Print or type)* _____
Date 06-27-14

Cert/Recert No. 8 Amendment No. _____

CAUTION

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

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





STATE OF TEXAS

RECORDS RETENTION SCHEDULE

1. SLR 105

**Form SLR 105 C must accompany this form.
Approved 05/14/2007**

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2. Agency Code 304	3. Agency Name: Texas Office of the Comptroller	Common Agencywide Records
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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
1.1.000	304-01	Legal Research General research and legal reference materials.	AV		AV			
1.1.000	304-02	Morning Reports A daily report listing employees that are scheduled to be out of the office.	6M		6M		Electronic/Open.	
1.1.000	304-03	Reference Materials	AV		AV		AV = to be reviewed yearly. Paper and/or Electronic/Open.	
1.1.000	304-04	Status Reports Reports listing projects worked.	1		1		Paper and/or Electronic/Open.	
1.1.000	304-05	Application Change Request Division requests for programming changes submitted by ACR to IT for processing.	AC		AC		AC = After close. Electronic/Open.	
1.1.006	304-06	Complaint Records	AC+2		AC+2		AC= Final disposition of the complaint.	

Retention Codes (Field 7) AC - After Closed, Terminated, Completed, Expired, Settled CE - Calendar Year End LA - Life of Asset PM - Permanent AV - Administrative Value FE - Fiscal Year End M - Months US - Until Superseded	Archival Codes (Field 8) A - Transfer to State Archives R - Review by State Archives
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			Agency	Storage	Total	9. Remarks		
1.1.008	304-07	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 an agency.	2		2			
1.1.013	304-08	Desk Calendar Calendars, appointment books or programs and scheduling, or itinerary records, purchased with state funds or maintained by staff during business hours that document appointments, itineraries, and other activities of agency officials or employees.	CE+1		CE+1	R		
1.1.014	304-09	Legal Opinion and Advice From agency legal counsel or the Attorney General, including any requests eliciting the opinions.	AV		AV	R		

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			Agency	Storage	Total	9. Remarks		
1.1.020	304-10	Public Information Requests- Not Exempted Includes all correspondence and documentation relating to request for records that are furnished to the public under the Public Information Act. (Chapter 552, Government Code.	AC+1		AC+1			
1.1.021	304-11	Public Information Requests Exempted Includes all correspondence and documentation relating to requests for records that are exempt under the Public Information Act. (Chapter 552, Government Code.	AC+2		AC+2			
1.1.023	304-12	Organization Charts Charts for divisions/sections listing staff members and the chain of command.	US		US	A		

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			Agency	Storage	Total				
1.1.024	304-13	Business Plan 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 result of planning process. Electronic/Open.		
1.1.027	304-14	Proposed Legislation Drafts of proposed legislation and related correspondence.	AV		AV		Paper and/or Electronic/Open.		
1.1.038	304-15	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC+3		AC+3		AC = Final disposition of summary report. Paper and/or Electronic/Open.		
1.1.040	304-16	Speeches and Papers Notes or text of speeches, papers or reports delivered in conjunction with agency work.	AC		AC	R	AC = End of term in office or termination of service in state position. Paper and Electronic/Open.		

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			Agency	Storage	Total				
1.1.043	304-17	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1		US+1		Paper and/or Electronic/Open.		
1.1.053	304-18	Registration Logs Logs or similar records used to register persons appearing before state agencies as required by Chapter 2004, Government Code, including quarterly reports filed with the Texas Ethics Commission.	AC		AC		AC = Report filed with the Texas Ethics Commission. Paper/Open		

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			Agency	Storage	Total	9. Remarks		
1.1.057	304-19	Transitory Information 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.	AC		AC			
1.1.058	304-20	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	Agency retains permanent record copy. The archival requirement will be met by sending a copy to the Archives and Information Services Division, Texas State Library and Archives Commission.	

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			Agency	Storage	Total	9. Remarks		
1.1.059	304-21	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	AC = The date of the meeting or completion of pending action involving the meeting, whichever is later. Government Code, 551.104(a).		
1.1.060	304-22	Meetings, Audio or Videotapes of Open Audio or videotapes of open meetings of state boards, commissions, committees, and councils.	AC+90D		AC+90D	AC = Official approval of written minutes of the meeting by the governing body of an agency.		
1.1.061	304-23	Meeting - Notes Notes taken during open meetings of state boards, commissions, committees, and councils from which written minutes are prepared.	AC+90D		AC+90D	AC = Approval of the formal minutes by the governing body.		

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			Agency	Storage	Total				
1.1.062	304-24	Meetings - Supporting Documentation Documents submitted at meetings of state boards, commissions, committees, and councils including exhibit items, documentation for agenda items, etc. Includes documents sent in advance of meeting for briefing purposes, some of which may not be submitted at an actual meeting.	2		2	A			
1.1.063	304-25	Staff Meetings Minutes and Notes Minutes or notes, and supporting documentation, taken at internal agency staff meetings.	1		1		Paper and/or Electronic/Open.		
1.1.064	304-26	Agency Performance Measures 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, and for performance measures used to manage the agency.	FE+3		FE+3		Electronic/Open		

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			Agency	Storage	Total				
1.1.065	304-27	Reports and Studies (Non-Fiscal) Raw Data Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV		AV		Paper and/or Electronic/Open.		
1.1.067	304-28	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	Paper and/or Electronic/Open.		
1.1.068	304-29	Reports on Performance Measures Quarterly and annual reports on agency performance measures submitted to executive and legislative offices.	AC+6		AC+6		AC = September 1 of odd-numbered calendar years.		

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			Agency	Storage	Total				
1.1.069	304-30	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		Electronic/Open.		
1.1.070	304-31	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+3		AC+3	R	AC = Completion or termination of program, rules, policies or procedures. Paper and/or Electronic/Open.		

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			Agency	Storage	Total	9. Remarks		
1.1.071	304-32	Agency Rules, Policies, and Procedures-Working Files Working files used in the development of manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those entities regulated by an agency that defines the programs, services, or projects.	AC+3		AC+3	R	AC = Completion or termination of program, rules, policies or procedures. Paper and/or Electronic/Open.	
1.2.012	304-33	Records Inventory Worksheets An itemized list of records that contains a description of active and inactive records.	US		US		Paper and/or Electronic/Open.	
1.2.013	304-34	Record Control Materials Includes indexes, card files, shelf lists, registers, guides, etc.	AC		AC		AC = When control aid is updated, revised, or no longer needed. Paper and/or Electronic/Open.	

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			Agency	Storage	Total				
2.1.007	304-38	Software Programs Automated software applications and operating system files including job control language, program listing/source code etc.	AC		AC		AC = Until electronic records are transferred to and made usable in a new software environment or there are no electronic records being retained to meet an approved retention period that require the software to be retrieved and read. 13TAC 6.94.		
2.1.008	304-39	Hardware Documentation Records documenting operational and maintenance requirements of computer hardware such as operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems.	AC		AC		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. 13TAC 6.94. Electronic/Open.		

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			Agency	Storage	Total				
2.1.009	304-40	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 flowcharts; program descriptions and documentation such as program flowcharts, program maintenance logs, change notices, and other records that document modifications to computer programs; and data documentation necessary to access, retrieve, manipulate and interpret data in an automated system such as a data element dictionary, file layout, code book or table, and other records that explain the meaning, purpose, structure, logical relationships, and origin of the data elements.	AC		AC		AC = Until electronic records are transferred to and made usable in a new hardware or software environment with new documentation ,or there are no electronic records being retained to meet an approved retention period that require the documentation to be retrieved or (for software technical documentation) the software is no longer being used by the agency, 13 TAC 6.97(a). Note: Software technical documentation including original program diskettes and backup copies, original manuals and other technical documentation, original license agreements, and copy of completed registration card's) with serial number and date of purchase, if any, should be maintained for as long as the software is used by the agency. Electronic/Open.		

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2.1.011	304-41	Finding Aids, Indexes, and Tracking Systems Automated indexes, lists, registers, and other finding aids used to provide access to records.	AC		AC	AC = The related records have been destroyed.		
2.2.000	304-42	Info Pac/View Direct Registers Includes electronic registers for the following: Alternative Fuels, Amusement, Amusement Non-filers, Audit, Automotive Oil, Bank Franchise, Bankruptcy, Battery Recycling, Boat & Boat Motor, Cement Production, Cigarette & Tobacco I, Cigarette & Tobacco II, Coastal Protection, Commercial Mobil Service Provider, Crude Oil (Account Maintenance.), Crude Oil (Tax Policy), Customs Broker, Electronic Filer/Special Filer, Fireworks, Franchise, Fuels (Tax Policy), Fuels Bond Scan, Fuels NF/Auto Estimates, Hotel, IFTA, IFTA Non Filer Scan, IFTA, IFTA Non Filer Scan, Inheritance, Insurance I, Insurance II, Loan Administration Fee, and Local Revenue.	1		1	Also includes: Local Sports Venue, Manufactured Housing, Misc. Gross Receipts-Utility, Mixed Beverage, Motor Vehicle Rental, Motor Vehicle Sales & Use, MV Seller Financed Sales, Natural Gas (Acc. Maintenance.), Natural Gas (Tax Policy), Off-Road, Heavy-Duty Diesel Equipment Surcharge, Oil & Gas Well Servicing, Oyster Sales Fee, Petroleum Products, Sales Tax (Revenue Accounting), Sales Tax (Tax Policy), Sales Tax Auto Estimates, Sales Tax Deadlines, Sales Tax Direct Pay, Sales Tax Permits Report, Sales Tax Maquiladora, School Benefit Fund Fee, Sulphur Production, Telecommunications, and Unapplied Payments & Hearings. Electronic/Confidential.		

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2.2.000	304-43	Info Pac/View Direct Registers Includes electronic registers for the following: Balancing & Suspense, Cash Management/Treasury, GASB, HRIS, and TINS/Payment Subsystems.	10		10	Electronic/Confidential.		
2.2.000	304-44	Info Pac/View Direct Registers Includes electronic registers for the following: Annual Franchise, Hotel Occupancy Tax Book, Hotel Allocation, HRIS, IFTA Quarterly Returns, Insurance Allocation, Loan Administration Fee, Local Revenue Allocation, age, Mixed Beverage Allocation, Motor Vehicle Rental, Sales Tax Allocation, and Sales Tax Quarterly Returns.	4		4	Electronic/Confidential.		
2.2.013	304-45	Quality Assurance Records A review of accounts performed to ensure the appropriate action was taken by the employee.	AC		AC	AC = 2 years or as needed as an audit trail for any records modified. Paper and/or Electronic/Open.		

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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total				
2.2.014	304-46	Internet Cookies Data resident on hard drives that make use of user-specific information transmitted by the web server onto the user's computer so that the information might be available for later access by itself or other servers.	AV		AV		The disposal of internet cookies need not be documented through destruction authorizations or in records disposition logs. Electronic/Open.		
2.2.015	304-47	History Files- Web Sites A record of the documents visited during an Internet session that allows users to access previously visited pages more quickly or to generate a record of usage of a state-owned computer.	AV		AV		The disposal of history files need not be documented through destruction authorizations or in records dispositions logs. Electronic/Open.		
3.1.006	304-48	Employee Counseling Records Notes, memoranda, or reports relating to the counseling of an employee for work-related, personal, or substance abuse problems. Usually maintained at the supervisory level except in those agencies with counseling staff.	AC+3		AC+3		AC = Termination of counseling. Electronic, Paper/Confidential.		

Retention Codes (Field 7) AC - After Closed, Terminated, Completed, Expired, Settled CE - Calendar Year End LA - Life of Asset PM - Permanent AV - Administrative Value FE - Fiscal Year End M - Months US - Until Superseded	Archival Codes (Field 8) A - Transfer to State Archives R - Review by State Archives
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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
3.1.022	304-49	Personnel Information. Notes or similar records of employees used for evaluation purposes.	2		2	Reference "29 CFR 1602.31"		
3.1.023	304-50	Position/Job 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). Paper, Electronic/Open.		
3.3.020	304-51	Work Schedules/Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1		1			
3.3.024	304-52	Personnel Policies and Procedure Any internally distributed manuals, guidelines, or similar records that define agency wide policies and procedures concerning the personnel of agency.	US+3		US+3	Paper and/or Electronic/Open		

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			Agency	Storage	Total				
3.4.006	304-53	Employee Time Accounting System An entry that shows the accumulation of time per task and project.	4		4		Reference "40 TAC 815.106(i)" Electronic/Confidential.		
4.2.000	304-54	Notary Public Logbook Logs listing name, address and license number with requestor signature.	10		10		Paper/Open.		
5.1.000	304-55	Cell Phones Cell phones purchased with state funds or maintained by staff during business hours.	AV		AV		Includes voice mail and text messages. Electronic/Open.		
5.1.000	304-56	Voice Mail Messages left on voice mail on state telephones.	AV		AV				

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			Agency	Storage	Total	9. Remarks		
5.1.001	304-57	Contract Files	AC+4		AC+4	AC= Expiration or termination of instrument according to its term. Complete contract file, signed contract or purchase order, solicitation (if applicable.) Contains all general correspondence, notices, proposals, mailing lists, tax research, complete RFP contract, and findings of fact (if applicable.) Also includes Texas Register submissions, Electronic State Business Daily postings and formation criteria. Includes without limitation, solicitations that resulted in contracts plus those that did not result in contracts. Original Contracts Under: Council On Competitive Government; Innovation & Technology; State Energy Conservation Office; Support Services; Texas Procurement and Support Services.		

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			Agency	Storage	Total	9. Remarks		
5.1.001	304-58	Contract Management Files Contract management hard copy and electronic repository files and forms such as contract status reports, contract monitoring schedule, site visits, quality inspection, meetings with vendor, vendor performance evaluations, change request forms, invoice/payment reconciliation logs, vendor performance issues, meeting summaries, correspondence, lessons learned, and closeout checklist.	AC+4		AC+4	AC= Completion of contract. Divisions excepted from adhering to this retention schedule are IT, TPASS (Statewide contracts only), Council of Competitive Government, State Energy Conservation Office, and Texas Treasury Safekeeping Trust Company.		
5.1.003	304-59	Delivery Reports Delivery reports from retrieved records stored at the Texas State Records Center.	2		2			
5.1.004	304-60	Mail and Telecommunications Listings Any mail address, telephone or fax number, or email address records maintained by an agency on it employees or entities or person it serves.	US		US	Any mailing address, telephone number, fax number, or email address records maintained by an agency on its employees, entities or persons it serves. Paper and/or Electronic/Open.		

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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
5.1.005	304-61	Postage, Delivery and Certified Mail Log Books Records and reports of postage expenses, including postal meter usage, U.S.P.S., priority mail, Federal Express, and Airborne delivery receipts.	FE	3	FE+3	Controlled mail documents including U.S.P.S. from 3877. Priority mail, Fed Ex, and Airborne delivery receipts. Paper/Open. As of 03/19/2007, dates of records stored are 2002 through 2004.	03-304-280	
5.1.011	304-62	Photocopier and Telefax Usage Logs & Reports Logs on photocopy and faxes received and/or faxed.	AV		AV			
5.1.011	304-63	Fax Activity Reports Records listing incoming and outgoing fax phone numbers.	AV		AV			

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			Agency	Storage	Total	9. Remarks		
5.1.014	304-64	Division/Section Office Procedures Any internally distributed manual, guidelines, or similar records that establish standard office procedures for and agency; for example, agency style manuals, telephone protocols, mail room procedures, print shop and photocopy ordering instructions.	US+1		US+1			
5.1.015	304-65	Correspondence Tracking Records Any record created by an agency to track any type of incoming and outgoing correspondence or packages by the U.S. Postal Service or by private couriers.	1		1			
5.2.010	304-66	Equipment Manuals Manuals with operating instructions for equipment.	LA		LA			
5.2.018	304-67	Quality Control Reports	2		2			

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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total			
5.3.007	304-68	Procurement and Contract Documentation Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, accepted and rejected bids, and bid tabulation/evaluations.	FE+3		FE+3	All vendor responses to agency solicitations including: RFO- Request for Offers; RFP- Request for Proposals; IFB- Invitation for bids; RFI- Request for Information; IFQ/RFQ- Invitation/Request for quote. "Exception: software purchase documentation, including dated purchase invoices, contracts and/or receipts showing the titles and quantity of licenses purchased and/or dated purchase lists from hardware or software resellers showing the products) and quantity of licenses should be maintained for as long as the software is used by the agency." Paper/Open. AC = Date of purchase, issuance of solicitation, or decision not to proceed with the formal information request process or the procurement, as applicable.		
5.3.009	304-69	Requests for Information Requests for information preliminary to the procurement of goods or services.	AC		AC			

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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total				
1.1.000	1A-01	Legislative Correspondence Correspondence received from Texas Legislators and Congressmen.	AC+3		AC+3	R	AC = Date of response to correspondence. Paper/Open.		
1.1.000	1A-02	Dismiss Memos Confidential Memos for Motions to Dismiss.	AC+1		AC+1		AC = The date the Comptroller's decision becomes final. Electronic/Confidential		
1.1.000	1A-03	Proposals for Decision Memos Confidential Memos for Proposals for Decision.	AC+4		AC+4		AC = After closed.		
1.1.000	1A-04	Rehearing Memos Confidential Memos for Motions for Rehearing.	AC+1		AC+1		AC = The date the Comptroller's decision becomes final. Electronic/Confidential		
1.1.006	1A-05	Complaint Files Complaints received by an agency from the public concerning that agency and records pertaining to the resolution of the complaint.	AC+2		AC+2		AC = Final Disposition of the Complaint. Paper/Open.		

Retention Codes (Field 7)	Archival Codes (Field 8)
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			Agency	Storage	Total				
1.1.007	1A-06	Administrative Correspondence Incoming/outgoing and internal correspondence pertaining to the formulation ,planning, implementation, interpretation, modification, or redefinition of the programs, services, or projects of an agency and the administrative regulations, policies, and procedures that govern them.	4		4	R	Paper/Open.		
1.1.010	1A-07	Executive Administrative Directives Any document that officially initiates, rescinds, or amends general office procedures.	US+1		US+1		Paper/Open.		
1.1.011	1A-08	Executive Orders Any document that initiates, rescinds, or amends a regulation, policy, or procedure that governs the programs, services, or projects of an agency.	US+3		US+3	A	Paper/Open.		

Retention Codes (Field 7) AC - After Closed, Terminated, Completed, Expired, Settled CE - Calender Year End LA - Life of Asset PM - Permanent AV - Administrative Value FE - Fiscal Year End M - Months US - Until Superseded	Archival Codes (Field 8) A - Transfer to State Archives R - Review by State Archives
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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
1.1.013	1A-09	Scheduling Calendars Scheduling and itinerary records maintained by staff during business hours.	CE+1		CE+1	R		
5.4.012	1A-10	Key Issue Cards Records relating to the issuance of keys, identification cards, building passes, passwords, signed statements or similar instruments of access to agency or state facilities, equipment or automated systems.	AC+2		AC+2			

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2. Agency Code	304	3. Agency Name: Texas Office of the Comptroller	Criminal Investigations
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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
1.1.000	1P-01	Criminal Investigation Files Files that contain investigations.	30		30			
1.1.000	1P-02	Final Proceeding Reports - Tobacco Sales to Minors Files that contain documentation relating to the fines and convictions for violations to the Health and Safety Code, Chapter 161.082.	2		2			
5.4.011	1P-03	Visitor Control Logs Sign in log listing names, times, telephone numbers and area being visited. Includes badge number assigned to visitor.	3		3			

Retention Codes (Field 7)	Archival Codes (Field 8)
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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
1.1.073	1F-10	Hearing Files (ALJ) The paper file will be scanned into imaging, verified and then destroyed. The electronic copy will be destroyed 3 years after the fiscal year ends.	AC	3	AC+3	R	95-304-106	
1.1.073	1F-11	State Office of Administrative Hearing Files Hard copy files maintained by the State Office of Administrative Hearings as the official hearing file that includes all documents and correspondences issued and received in the hearing matter.	AC	3	AC+3	R		
1.1.073	1F-12	Tape Recordings, Oral Hearing Recordings of oral hearings held by Administrative Law Judges.	AC	3	AC+3	R		
2.2.016	1F-14	Warranties and License Agreements Software, licenses and maintenance agreements with warranty information.	LA+3		LA+3			

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			Agency	Storage	Total				
3.1.000	1F-15	Ethics Materials	AV		AV		Litigation/Taxation. Paper/Confidential.		
4.7.000	1F-16	IRS Safeguard Annual Review	AC+4		AC+4		AC = After termination of Agreement. Open Records listed under Budget as 1E. Electronic, Paper/Confidential.		
4.7.010	1F-17	Bond Transaction Documents	AC+3		AC+3		AC = Retirement of debt. Agency Affairs. Paper/Open.		
5.1.000	1F-18	IRS Information Exchange Files	AC+4		AC+4		AC = After completion of file. 26USC6103. Open Records listed under Budget as 1E. Electronic, Paper/Confidential.		

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			Agency	Storage	Total	9. Remarks		
5.1.001	1F-19	Contract Files Complete contract files including the following as applicable: signed contracts (e.g., consulting agreements, professional services agreements, legal services agreements, contingent fee contracts, expert witness agreements, loan agreements, leases, licenses, interagency agreements, memoranda of understanding), purchase orders, solicitations (e.g., RFPs, RFOs, IFBs, PRs, RFQs), accepted vendor responses to solicitations, notices (e.g., Texas Register, Electronic State Business Daily), mailing lists, final tax research, findings of fact, CAT/RAD reviews, and general correspondence related to transaction. Contract files for non-awarded procurements and proposals received from non-awarded vendors are retained for AV - As long as Administratively Valuable.	AC	4	AC+4	AC = Expiration or termination of instrument according to its term.	04-304-282	

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			Agency	Storage	Total				
5.1.001	1F-20	Memorandum of Understanding (MOU) Open Records Section maintains non-monetary MOUs with the IRS, the Federation of Tax Examiners (FTA), the International Fuels Tax Association (IFTA), as well as other federal, state and local governmental bodies, relating to the reciprocal sharing of confidential tax data.	AC+4		AC+4		AC = After termination of MOU. Open Records maintains MOUs with other states' tax departments (Federation of State Tax Administrators), as well as other Texas State Agencies, and/or Federal Agencies, and or other governmental bodies. Tax documents may be shared but remain confidential in possession of the recipients.		
5.1.001	1F-21	Contracts	FE+4		FE+4		Interagency Cooperation Contract between Comptroller of Public Accounts and State Office of Administrative Hearings. Agency Affairs. Paper/Electronic		
5.1.001	1F-22	IRS Information Exchange Agreements "Agreement between the IRS and CPA that specify how and what each entity is entitled to share for tax administration purposes.."	AC+4		AC+4		AC = After termination of agreement. Open Records listed under Budget as 1E. Paper/Open.		

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			Agency	Storage	Total				
5.1.012	1F-23	Cost Estimates for Requests Charge schedules price lists that require programming and manipulation of data.	US+3		US+3		Documentation used for cost estimates for Open Records requests requiring programming and manipulation of data as required by Section 552.231 of the Texas Government Code. Open Records under Budget listed as 1E. Paper, Electronic/Open.		
5.1.017	1F-24	Contract Logs Contracts Management Database (CMD) and lists used for workload management and tracking purposes.	FE+3		FE+3		Contracts. Paper, Electronic/Open.		

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			Agency	Storage	Total	9. Remarks		
1.1.002	1G-01	Annual Audit Report Report of audits performed for this year, status of findings and audit plan for the following year.	AC+7		AC+7			
1.1.002	1G-02	Internal 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			
1.1.024	1G-03	Audit Plan 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+7		AC+7	R		

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			Agency	Storage	Total	9. Remarks		
2.1.002	1G-04	Team Mate Database	AC		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.		

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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
1.1.000	1D-01	Correspondence Documents that have information relating to legislation.	10		10	Paper/Open.		
1.1.027	1D-02	Proposed Legislation Proposed recommendations on legislative issues.	AV		AV	Dating back to 1972. Paper/Open.		
3.3.020	1D-03	Work Schedules Staff member listing scheduled to work.	1		1	Electronic.		

Retention Codes (Field 7)	Archival Codes (Field 8)
AC - After Closed, Terminated, Completed, Expired, Settled	CE - Calendar Year End
AV - Administrative Value	LA - Life of Asset
	PM - Permanent
	FE - Fiscal Year End
	M - Months
	US - Until Superseded
	A - Transfer to State Archives
	R - Review by State Archives



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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
1.1.000	2T-01	Planned Procurement Schedule (PPS) A report submitted to Department of Information Resources every six months which lists all planned Information Resources procurements.	US		US			
1.1.000	2T-02	Project Files Project files include procurement documents, contracts, invoices, important e-mails, requirement documents, technical documents, test plans, test scenarios, deliverable signoffs, status reports and other related documents.	AC+3		AC+3	R		
1.1.066	2T-03	Information Resources Deployment Review Biennial report submitted to Department of Information Resources to provide review of operational aspects of agency information resources in support of the agency's mission, goals and objectives and confirm the agency is in compliance with the states IR-related statues, rules and standards.	AC+6		AC+6			

Retention Codes (Field 7)	Archival Codes (Field 8)
AC - After Closed, Terminated, Completed, Expired, Settled	A - Transfer to State Archives
AV - Administrative Value	R - Review by State Archives
CE - Calender Year End	
FE - Fiscal Year End	
LA - Life of Asset	
M - Months	
PM - Permanent	
US - Until Superseded	



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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total				
2.2.000	2T-04	Intrusion Detection and Prevention Systems Logs These logs are used to correlate anomalies, identify potential security incidents, investigate suspicious events, and verify that controls are providing adequate protection. Logs may also be used for criminal evidence as needed.	AC+1		AC+1		AC = After date/time log was created. Electronic/Confidential. IT Infrastructure, Network, Communications and Security.		
2.2.001	2T-05	System Monitoring Records/Logs Electronic files or automated logs created to monitor computer systems such as print spool logs, console logs, tape activity logs, etc.	AV		AV		IT Infrastructure/Data Center Operations; Network, Communications and Security. Electronic/Open.		
2.2.002	2T-06	Chargeback Records to Data Processing Service Users IT/IRPBC records created as part of the annual statewide cost allocation program (SWCAP).	FE+3		FE+3		Paper and Electronic. Open.		

Retention Codes (Field 7) AC - After Closed, Terminated, Completed, Expired, Settled CE - Calendar Year End LA - Life of Asset PM - Permanent AV - Administrative Value FE - Fiscal Year End M - Months US - Until Superseded	Archival Codes (Field 8) A - Transfer to State Archives R - Review by State Archives
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			Agency	Storage	Total				
2.2.016	2T-07	Software Registrations, Warranties and License Agreements Files of paid invoices, purchase orders and terms and conditions of software being used in the agency to validate legal usage in case of an audit.	LA+3		LA+3		IR Planning, Budgeting and Contracting. Paper, Electronic/Open.		
3.4.006	2T-08	Time Sheets for Contractors Timesheets that are submitted (in conjunction with an invoice) by the contractor. The time sheet is verified with the time that is entered on the Employee Time Accounting System.	4		4		IR Planning, Budgeting & Contracting. TAC 815.106(i). Electronic/Open.		

Retention Codes (Field 7) AC - After Closed, Terminated, Completed, Expired, Settled CE - Calendar Year End LA - Life of Asset PM - Permanent AV - Administrative Value FE - Fiscal Year End M - Months US - Until Superseded	Archival Codes (Field 8) A - Transfer to State Archives R - Review by State Archives
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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total			
4.7.000	2T-09	Governmental Liaison Data Exchange Program Internal Revenue Service cartridge tapes (type 3490) are securely stored in the Data Center Operations Tape Library. Tape information is accessed by Audit HQ. Tapes are logged in via TSO/CLISTS.	5		5	Old historical IRS data, which include 396 tapes from calendar year 2005 through 2007, are stored in a locked cabinet in the Data Center and will continue to be kept on back-up magnetic tapes for variable number of years: 2005 tapes will be discontinued in 2010; 2006 tapes will be discontinued in 2011; and 2007 tapes will be discontinued in 2012. The Tumbleweed Server has been in use since September/October 2007 to store new, incoming IRS data. Data Center Operations. IT Infrastructure.		
4.7.000	2T-10	Warrant Logs A series of logs that are kept for warrant handling and accountability. Logs are securely kept within the Production Control area. The logs are reviewed routinely by Internal Audit. Logs are maintained by the Automation Production Control Section.	7		7	Data Center Operations. IT Infrastructure. Paper/Open.		

Retention Codes (Field 7)	Archival Codes (Field 8)
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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
5.1.000	2T-11	Web Call E-mail Business Accounts E-mail account containing automatically generated e-mails that are produced by Web applications when an error or problem occurs within such applications. These e-mails are a communication tool for the development team, alerting them of the	AC+1		AC+1	AC = When error or problem is resolved. Software Development/Application Development and Support. Electronic/Open.		
5.2.000	2T-12	Accountability Statements for Electronic Devices Acknowledgement of receipt of pagers, cell phones and other hand-held electronic devices and related user responsibility.	US		US	IT Infrastructure. Customer Service. Paper and Electronic, Open		
5.2.016	2T-13	Inventory System Listings A collection of Excel spreadsheets identifying Network Operations equipment type and location.	AC		AC	AC = When new data is entered in the listings. List of network equipment used in the Production Operations Section and maintained by the Network Operations Section. Electronic/Open.		

Retention Codes (Field 7)	Archival Codes (Field 8)
AC - After Closed, Terminated, Completed, Expired, Settled AV - Administrative Value	A - Transfer to State Archives R - Review by State Archives
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			Agency	Storage	Total				
5.4.012	2T-14	Security Access Records E-mails to and from Division Security Coordinators (DSCs) to require and to verify access reviews every six months.	AC+2		AC+2		AC = After access review is completed. IT Infrastructure; Help Desk tickets.		
5.4.013	2T-15	Disaster Recovery Plans Convenience copies of the Business Continuity Plans for each division.	US+4		US+4		IT Infrastructure. Paper and Electronic. Open.		

Retention Codes (Field 7) AC - After Closed, Terminated, Completed, Expired, Settled CE - Calendar Year End LA - Life of Asset PM - Permanent AV - Administrative Value FE - Fiscal Year End M - Months US - Until Superseded	Archival Codes (Field 8) A - Transfer to State Archives R - Review by State Archives
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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
1.1.000	1R-01	Legislative Monitoring by Agency Staff Memo's written by agency staff from meetings attended.	2		2			
1.1.000	1R-02	Legislative Administration Cost Estimating and Tracking System LACETS A system used for analyzing, costing and tracking legislation.	AV		AV			
1.1.000	1R-03	Legislative Information Requests Request from Legislators.	AC+2		AC+2			
1.1.027	1R-04	Agency Proposals Agency wide legislative proposals.	AC+2		AC+2			
1.1.027	1R-05	Proposed Legislation Drafts of proposed legislation and related correspondence all bills filed	AV		AV			

<p>Retention Codes (Field 7)</p> <p>AC - After Closed, Terminated, Completed, Expired, Settled CE - Calendar Year End LA - Life of Asset PM - Permanent</p> <p>AV - Administrative Value FE - Fiscal Year End M - Months US - Until Superseded</p>	<p>Archival Codes (Field 8)</p> <p>A - Transfer to State Archives</p> <p>R - Review by State Archives</p>
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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total				
1.1.004	1B-01	Legislative Appropriations Requests Including and supporting documentation created and/or used to justify and support legislative appropriations request by an agency.	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 request to the Texas State Publications Depository Program, Texas State Library and Archives Commission." Paper and Electronic/ Open.		
1.1.024	1B-02	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 implement result of planning process. Paper and Electronic/Open.		
1.1.055	1B-03	Strategic Plans Information resources and operational strategic plans prepared in accordance with Sections 2054.095 and 2056.002, Government Code.	AC+6		AC+6	A	AC = September 1 of odd- numbered calendar years. "Copies to Texas State Publication Depositor Program, Texas State Library and Archive Commission (TSLAC)." HB 2009, SB 156-Customer Service. The archival requirement is met by sending the required copies of the plans to the TSLAC. Paper and Electronic/ Open.		

Retention Codes (Field 7) AC - After Closed, Terminated, Completed, Expired, Settled CE - Calendar Year End LA - Life of Asset PM - Permanent AV - Administrative Value FE - Fiscal Year End M - Months US - Until Superseded	Archival Codes (Field 8) A - Transfer to State Archives R - Review by State Archives
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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total				
1.1.064	1B-04	Agency Performance Measures Documentation Any records of an agency needed for the documentation of outcome output, efficiency, and explanatory measures in an agency's appropriations request for strategic plan, and for performance measures used to manage the agency.	AC+6		AC+6		AC = After completed. Paper and Electronic/Open.		
1.1.068	1B-05	Reports- Reports on Performance Measures Quarterly and annual reports on agency performance measures submitted to the executive and legislative offices.	AC+6		AC+6		AC = September 1 of odd- numbered calendar years. "Copies to Texas State Publication Depositor Program, TSLAC." LBB Reports. Paper and Electronic/Open.		
3.1.000	1B-06	Contract Workforce Report A compilation of data of non outsourced contract positions procured by the agency each month. It is reported to management monthly and to the State Auditors Office quarterly for agencies 304 and 902.	FE+6		FE+6		Paper and Electronic/Open.		

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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
3.1.011	1B-07	Employee Insurance Records Agency copies of information relating to the selection by employees of life, disability, health, and other types of insurance offered by the State of Texas to its employees.	AC+4		AC+4	AC = Until superseded or termination of employment. Includes 241/District Courts (Comptroller Judiciary). Medicare Files. Retired Visiting Judges. Paper/Open.		
3.1.035	1B-08	Performance Bonds Bonds posted by employees and individuals or entities under contract with an agency for the performance of the duties of a position or the terms of a contract with the agency.	AC+4		AC+4	AC = Expiration or termination of the bond according to its terms. Includes 241/District Courts (Comptroller Judiciary.) Paper/Confidential.		
3.2.000	1B-09	Salary Claim Logs Savings bond purchases supplied by Federal reserve.	CE+1	3	CE+4	One file maintained in Budget and Internal Accounting Payroll. Paper/Open.		

Retention Codes (Field 7) AC - After Closed, Terminated, Completed, Expired, Settled CE - Calendar Year End LA - Life of Asset PM - Permanent AV - Administrative Value FE - Fiscal Year End M - Months US - Until Superseded	Archival Codes (Field 8) A - Transfer to State Archives R - Review by State Archives
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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
3.2.001	1B-10	Employee Deduction Authorizations Documentation used to start, modify, or stop all voluntary or required deductions from payroll, including garnishment or other court-ordered attachments. Includes TexFlex Authorizations, employee deductions and Benefit Replacement Pay (BRP). These forms related only to employees eligible for BRP.	AC+4		AC+4	AC = After termination of employee or after amendment, expiration, or termination of authorization, whichever is sooner. Includes 304/Comptroller's Office, 907/State Energy Conservation Office, 930/TX Treasury Safekeeping Trust Co. and 241/District Courts (Comptroller Judiciary.) Paper/Open.		
3.2.002	1B-11	Employee Earnings Records Monthly Payroll Reports Cost Summaries ERS/TEXFLEX/Retirement Reports. Payroll Detail USPS. Former/Retirees salary claims. Detail salary claim logs and savings bond. These documents are detail reports from USPS relating to each payroll processed. Information pertains to individual payments and deductions made to each employee during each payroll. Includes agencies 304,907,930 and 241.	CE+1	3	CE+4	40 TAC 815.6(i). Includes 304/Comptroller's Office, 907/State Energy Conservation Office, 241/District Courts (Comptroller Judiciary) and 930/TX Treasury Safekeeping Trust Co. Paper/Confidential.	92-304-075	

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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
3.2.002	1B-12	Payroll Voucher Detail Monthly Payroll Reports Cost Summaries. ERS/TEXFLEX/Retirement Reports. SECC and BRP Payroll Detail USPS. Former/Retirees salary claims. Detail salary claim logs and savings bonds. These documents are detail reports from USPS relating to each payroll processed. Information pertains to the individual payments and deductions made to each employee during each payroll.	CE+1	3	CE+4		92-304-068	
3.2.002	1B-13	Statements of Earnings Employee Earnings Records	4		4			13 months accessible on web and 3 years stored electronically and is accessible by request in XML format. Reference 40 TAC 815.106 (i).
3.2.003	1B-14	1099 Forms Form 1099 is a form promulgated by the Internal Revenue Service (IRS) and is used in the United States income tax system to report various types of income other than wages, salaries, and tips.	AC+4		AC+4			AC = Tax due date, date claim filed, or date tax is paid whichever is later. Paper and Electronic/Open.

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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
3.2.003	1B-15	Federal Tax Records Includes FICA records. 941s and W-2s or other Federal Reporting Documents. Includes 304/Comptroller's Office, 907/State Energy Conservation Office, 930/TX Treasury Safekeeping Trust Co., 241/Districts Courts (Comptroller Judiciary) and 337/Board of Tax Professional Examiners.	AC+1	3	AC+4	AC = Tax due date, date the claim is filed, or date tax is paid, whichever is later. 29 CFR 31.600-1(e)(2). Paper/Confidential.	97-304-217	
3.2.004	1B-16	Income Adjustment Authorizations Used to make increases or decreases to employees' gross pay, FICA, retirement, or in computation of taxes.	2		2	29 CFR 516.6(c). Salary affidavits. For District Judges, DA's, Court of Appeals justices, Constitutional Court Judges Affidavits (26.006 Govt. Code), and County Court Law Eligibility Affidavits. Only agency 241/District Courts (Comptroller Judiciary.) Paper/Confidential.		

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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
3.4.001	1B-21	Accumulated Leave Adjustments Requests Used to create employee leave balances, to transfer positions, to adjust carryover balances on August 31, to correct errors on leave accumulation and to close out to leave accounts on separated employees.	FE+1	2	FE+3			
3.4.002	1B-22	Employee Leave Summary Leave Status Reports	FE+4		FE+4			
3.4.004	1B-23	Overtime Authorization Authorization forms for payment of overtime from divisions. Includes agencies 304/Comptroller's Office, 907/State Energy Conservation Office and 930/TX Treasury Safekeeping Trust Co.	2		2			

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			Agency	Storage	Total	9. Remarks		
3.4.007	1B-24	Weekly Leave Requests This records series may include but is not limited to Leave Requests Forms, Time Adjustment Approval Request and other supporting documentation.	FE	3	FE+3	Forms for reporting use of annual leave, sick leave or accumulating leave for holidays worked, comp time and other timekeeping related events. Includes records for agencies 304/Comptroller's Office and 930/State Energy Conservation Office and 930/TX Treasury Safekeeping Trust Co. Paper/Open.	90-304-020	
4.1.002	1B-25	Billing Detail Itemized billing records for services rendered.	FE+3		FE+3	Accounts Receivables, Texas State Data Consortium, TWC Billings, Treasury Liquidity Provision. Includes agency 902/Comptroller of Public Accounts-Fiscal Programs and 304/Comptroller's Office. Paper/Open.		
4.2.005	1B-26	Accounts Payable Purchase Vouchers Requisitions, purchase orders, receiving reports, invoices, or statements, change orders, best values determinations, etc. Related to agency vendor payments.	FE+1	2	FE+3	Vendor payment records (vouchers, invoices, working papers). Includes agencies 241/Judiciary, 304/Comptroller's Office, 315/ TX Tomorrow Fund, 902/Comptroller of Public Accounts-Fiscal Programs, 907/State Energy Conservation Office. Paper/Open.	91-304-038	

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			Agency	Storage	Total				
4.2.006	1B-27	General Journal Vouchers A record of budget entries and transfers of funds between an agency's budgets.	FE+1	2	FE+3		Budget revisions, Journal Vouchers. Includes agencies 304/Comptroller's Office, 315/ TX Tomorrow Fund, 902/Comptroller of Public Accounts-Fiscal Programs, 907/State Energy Conservation Office. Paper/Open.		
4.2.007	1B-28	Expenditure Vouchers/Expenditure-Registers-Warrants Reimbursement vouchers, claims and back-up papers to all Judiciary customers, counties, witnesses and elected officials.	FE+1	2	FE+3		Per Diem claims, payroll, travel, apportionment, and public integrity vouchers. Also includes witness fee claims, probate, county court law, longevity, juror reimbursement and Constitutional Judges vouchers. Death Penalty Writ Claims. Inmate Reimbursement Requests. 435th DC Staff Support request vouchers. Paper/Open.	98-304-246	

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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
4.5.006	1B-35	Annual Operating Budgets Required by the General Appropriations Act.	FE+6		FE+6	Legislative Budget Board (LBB) Operating Budget. Paper/Open.		
4.6.002	1B-36	Reconciliations Reconciliations: For agencies 304/Comptroller's Office, 907/State Energy Conservation Office, 337/Board of Tax Professional Examiners, 241/District Courts (Comptroller Judiciary), USAS to ISAS, USPS to ISAS, SPA to ISAS/USPS.	FE+1	2	FE+3	Paper/Open.		
4.7.002	1B-37	Bank Statements Periodic statement of banking balances containing information on debits and credits on a bank account.	FE+3		FE+3	Travel advance account only. Paper/Open.		
4.7.005	1B-38	Claim Files Indigent inmate claims. Only agency 241/District Courts (Comptroller Judiciary.)	AC+3		AC+3	AC = Resolution of claim. Paper/Open.		

Retention Codes (Field 7)	Archival Codes (Field 8)
AC - After Closed, Terminated, Completed, Expired, Settled	A - Transfer to State Archives
AV - Administrative Value	R - Review by State Archives
CE - Calendar Year End	
FE - Fiscal Year End	
LA - Life of Asset	
M - Months	
PM - Permanent	
US - Until Superseded	



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2. Agency Code **304** **3. Agency Name:** **Texas Office of the Comptroller** **Budget & Internal Accounting**

4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total				
4.7.005	1B-40	Wrongful Imprisonment Program(WIP) Files All original wrongful imprisonment program(WIP) files.	PM		PM		Includes WIP claims and correspondence regarding wrongful imprisonment claims. Paper/Confidential.		
4.7.007	1B-39	Detail Chart of Accounts One for all accounts in use for a fiscal year.	FE+3		FE+3		USAS/ISAS. Electronic/Open.		
4.7.012	1B-41	Invoice, Travel and Procurement Card Approvals Signature cards that are used to establish authority of an agency employee authorized to approve invoices, vendor payments, travel reimbursements and the monthly procurement card statements.	US+FE+3		US+FE+3		Spreadsheets created from 4"x6"cards stating who is authorized to sign approval for financial transactions. Spreadsheet used to verify signatures on travel vouchers , invoices, and procurement card statements. Paper/Electronic.		

Retention Codes (Field 7) AC -After Closed, Terminated, Completed, Expired, Settled CE - Calender Year End LA - Life of Asset PM - Permanent AV - Administrative Value FE - Fiscal Year End M - Months US - Until Superseded	Archival Codes (Field 8) A - Transfer to State Archives R - Review by State Archives
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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
1.1.000	1H-01	Community Involvement Special Events held within the Agency	1		1			
1.1.000	1H-02	Ergonomic Assessment Non-Medical. Analyzing a work area in order to adjust it to the worker.	AC		AC		AC = After completed.	
1.1.056	1H-03	ADA Documentation Self evaluations and plans documenting compliance with the requirements of the Americans with Disabilities Act.	AC+3		AC+3		AC = Termination of Employment. 28CFR35.105(c).	
1.1.075	1H-04	Dispute Resolution Records Documents relating to the consultation with an employee or management regarding work related issues.	AC+5		AC+5		AC = Final resolution.	

Retention Codes (Field 7) AC - After Closed, Terminated, Completed, Expired, Settled CE - Calendar Year End LA - Life of Asset PM - Permanent AV - Administrative Value FE - Fiscal Year End M - Months US - Until Superseded	Archival Codes (Field 8) A - Transfer to State Archives R - Review by State Archives
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2. Agency Code **304** **3. Agency Name:** **Texas Office of the Comptroller** **Human Resources**

4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total				
3.1.014	1H-12	Employment Selection Records Includes notes of interviews with candidates, questions asked of applicants, and all other records that document the selection process.	6M	1Y6M	2		29 CFR 1602.31. Paper/Open.	01-304-276	
3.1.018	1H-13	Grievance Reports Records relating to the review of employee grievances against personnel policies, working conditions, etc.	AC+2		AC+2		AC = Final decision on the grievance.		
3.1.024	1H-14	Medical Statements Information signed by a licensed health care provider.	AC+2		AC+2		AC = Termination of employment.		
3.1.026	1H-15	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. Background checks are completed pursuant to authority given to the Comptroller's Office by the 77th Legislative, Section 411.109 of the TX. Govt. Code.		

Retention Codes (Field 7) AC - After Closed, Terminated, Completed, Expired, Settled CE - Calendar Year End LA - Life of Asset PM - Permanent AV - Administrative Value FE - Fiscal Year End M - Months US - Until Superseded	Archival Codes (Field 8) A - Transfer to State Archives R - Review by State Archives
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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
3.1.027	1H-16	Training Records Certificates of completion, or similar records documenting the training.	AC+5		AC+5	AC = Termination of employment. TSMENU Database. Electronic/Open.		
3.1.029	1H-17	I-9 Forms- Eligibility for Employment Federal reporting form (INS I-9).	AC+1		AC+1	AC = Termination of employment. Three years after the date of hire or one year after the date the individual's employment is terminated, whichever is later. 8CFR274a.2(b)(2)(i)(a).		
3.1.031	1H-18	Employee Benefits Agency copies of information relating to the selection of available benefit options other than insurance. 401-K and 457-Administration prior to June 2001.	AC+2		AC+2	AC = Termination of employment. Includes 304/Comptroller's Office, 907/State Energy Conservation Office, and 930/Texas Treasury Safekeeping Trust Company. Paper/ Open.		

Retention Codes (Field 7) AC - After Closed, Terminated, Completed, Expired, Settled CE - Calendar Year End LA - Life of Asset PM - Permanent AV - Administrative Value FE - Fiscal Year End M - Months US - Until Superseded	Archival Codes (Field 8) A - Transfer to State Archives R - Review by State Archives
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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
3.1.038	1H-19	Public Access Option Form (70-135/70-149) Form completed and signed by employee or official, or former employee or official, electing to keep home address, home telephone number, social security number, and family information open or confidential under the Public Information Act, Government Code 552.024.	US		US			
3.2.000	1H-20	Workers' Compensation	CE+5		CE+5			
3.3.000	1H-21	Current Employment Verifications Current employee employment verifications completed by Human Resources received from outside customers. (mortgage, etc.)	AC+1		AC+1	AC = Date request fulfilled.		
3.3.000	1H-22	Walt Form Approval to work a flexible schedule designated as flex time or compressed work week.	AC		AC	AC = Termination of employment. Work alternative schedules.		

Retention Codes (Field 7)	Archival Codes (Field 8)
AC - After Closed, Terminated, Completed, Expired, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End LA - Life of Asset M - Months PM - Permanent US - Until Superseded	A - Transfer to State Archives R - Review by State Archives



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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
3.3.011	1H-23	Former Employee Verification Records Minimum information needed to verify employment, includes name, social security number, exact dates of employment, last known address and most recent public access option form.	AC	75	AC+75	AC = Termination of employment. PM-Filmed at State Library. Original Film at the State Records Center and a Diazo copy at the Comptroller's Office. 1990 and Prior retained entire Personnel File on microfilm. 1991 forward contains minimum information needed to verify employment. Data backed up in USPS from 1993 to present. Paper/Microfilm/Confidential. As of 03/19/2007, dates of records stored are 1973 through 1989.	97-304-215	
3.3.011	1H-24	Former Employee Verification Records Minimum information needed to verify employment, includes name, social security number, exact dates of employment, last known address and most recent public access option form.	AC+75		AC+75	AC = Termination of employment. 1974 through present kept in the agency. Certain information may be confidential. A listing of names and employment hire dates kept in the Comptroller's Office. Paper/Open/Confidential.		

Retention Codes (Field 7) AC - After Closed, Terminated, Completed, Expired, Settled CE - Calendar Year End LA - Life of Asset PM - Permanent AV - Administrative Value FE - Fiscal Year End M - Months US - Until Superseded	Archival Codes (Field 8) A - Transfer to State Archives R - Review by State Archives
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2. Agency Code **304** **3. Agency Name:** **Texas Office of the Comptroller** **Human Resources**

4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total			
3.3.026	1H-25	Agency Turnover Reports Any reports compiled by an agency on aspects of personnel staffing, including listing 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 rate and seasonality of employment, etc.	US+3		US+3	Electronic/Paper		
3.3.031	1H-26	EEO-4 Reports and Supporting Documentation Includes documentation used to complete EEO Reports.	3		3	29 CFR 1602.32, 1602.39, 1602.41, 1602.48, and 1602.50.		
3.4.000	1H-27	Requests for Wellness Leave Form Request for wellness leave form completed by employee, physician and Human Resources.	FE+3		FE+3	Paper.		
3.4.000	1H-28	Release of Liability Wellness Form Release of liability for participation in the Wellness Program signed by employee	FE+1		FE+1	Paper.		

Retention Codes (Field 7) AC - After Closed, Terminated, Completed, Expired, Settled CE - Calendar Year End LA - Life of Asset PM - Permanent AV - Administrative Value FE - Fiscal Year End M - Months US - Until Superseded	Archival Codes (Field 8) A - Transfer to State Archives R - Review by State Archives
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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
3.4.007	1H-29	Time Off and/or Sick Leave Request This records series includes special leave request other than medical.	FE+3		FE+3			
3.4.008	1H-30	Sick Leave Pool/Medical Requests Request submitted, approvals, number of hours transferred in and out, etc.	FE	3	FE+3		Records kept to termination. Paper/Open.	03-304-278
5.4.001	1H-31	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 Department of Insurance or its predecessors or maintained internally on accident frequency.	CE+5		CE+5		29CFR 1904.33. Texas Department of Insurance retains copies of the reports submitted to it for 50 years.	
5.6.004	1H-32	Driving Records Employee driving record report received from BerringPoint (third party vendor)	AC		AC		AC = Until superseded or until termination of employment.	

Retention Codes (Field 7)	Archival Codes (Field 8)
AC - After Closed, Terminated, Completed, Expired, Settled AV - Administrative Value CE - Calendar Year End FE - Fiscal Year End LA - Life of Asset M - Months PM - Permanent US - Until Superseded	A - Transfer to State Archives R - Review by State Archives



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2. Agency Code 304 **3. Agency Name:** **Texas Office of the Comptroller** **Document Management**

4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total				
1.1.053	1V-01	Office Registers Visitor Listing	AC		AC		AC = Report filed with the Texas Ethics Commission. Paper/Open		
2.1.001	1V-02	Document Processing Database Files that are stored on the Document Processing server.	AC+1		AC+1		AC = After work order requests are completed. Electronic/Confidential.		
5.1.000	1V-03	Weekly Quick/Print Production Reports These records include weekly report submitted to division director consisting of number of jobs performed in quick copy and number of jobs sent out for outside printing in a weekly time period. (Friday- Thursday)	FE+2		FE+2		Electronic/Open.		
5.1.000	1V-04	Monthly Quick/Print Production Reports These records include all jobs that were completed in Quick Copy during the previous month. These records are entered on the Budget Server as Performance Measures.	FE+2		FE+2		Electronic/Open.		

Retention Codes (Field 7) AC - After Closed, Terminated, Completed, Expired, Settled CE - Calendar Year End LA - Life of Asset PM - Permanent AV - Administrative Value FE - Fiscal Year End M - Months US - Until Superseded	Archival Codes (Field 8) A - Transfer to State Archives R - Review by State Archives
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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
5.1.000	1V-05	Annual Quick Print Production Reports These reports contain all completed jobs printed by Quick Copy during the previous Fiscal Year. This record is used by Budget to estimate division budgets.	FE+2		FE+2	Electronic/Open.		
5.1.000	1V-06	Outgoing Mail Work Orders A work order requesting services to be performed by the agency outsource mail vendor.	1		1	Paper, Electronic/Open		
5.1.007	1V-07	Document Processing Work Orders Completed work requests for services received in the division via telephone, walk-ins or online requests.	AV		AV	Paper and/or Electronic/Open.		
5.1.007	1V-08	Quick Copy Work Orders These records include printed and completed work orders (forms 83-126 & 75-100) accompanied by transitional information.	AV		AV	Paper/Open.		

Retention Codes (Field 7) AC - After Closed, Terminated, Completed, Expired, Settled CE - Calendar Year End LA - Life of Asset PM - Permanent AV - Administrative Value FE - Fiscal Year End M - Months US - Until Superseded	Archival Codes (Field 8) A - Transfer to State Archives R - Review by State Archives
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2. Agency Code 304 **3. Agency Name:** **Texas Office of the Comptroller** **Records Management**

4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total				
1.1.000	1U-01	Texas Growth Fund Files Includes Open Records requests/responses; litigation files; Board meeting minutes; meeting books; Fund resolutions; incorporation documents; audit committee meeting minutes; briefing session tapes; treasurer's reports; and Fund acknowledgements, consents, disclosure statements and waivers.	AC+7		AC+7	R	AC = Termination of the Trust (06/01/2012).		
1.1.000	1U-02	TRCC (Texas Residential Construction Commission) Registration Files, Arbitrators Applications, correspondence, Texas Register Information and background checks limited to registration.	AC+5		AC+5		AC = After registration has been withdrawn, cancelled, revoked, suspended or expired. Caution: Information contained in an application or background check that is not contained in another public record is excepted from disclosure pursuant to Property Code Sec. 416.002(d). Social Security Numbers provided pursuant to the Family Code Sec. 231.302€		

Retention Codes (Field 7) AC - After Closed, Terminated, Completed, Expired, Settled CE - Calendar Year End LA - Life of Asset PM - Permanent AV - Administrative Value FE - Fiscal Year End M - Months US - Until Superseded	Archival Codes (Field 8) A - Transfer to State Archives R - Review by State Archives
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2. Agency Code 304 **3. Agency Name:** **Texas Office of the Comptroller** **Records Management**

4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total				
1.1.000	1U-03	TRCC Registration Files, Builders/Agents Applications, correspondence between agency & Builder regarding registration, fee waivers and background checks and renewals.	AC+10		AC+10		AC = After registration has been withdrawn, cancelled, revoked, suspended or expired. Caution: Information contained in an application or background check that is not contained in another public record is excepted from disclosure pursuant to Property Code Sec. 416.002(d). Social Security Numbers provided pursuant to the Family Code Sec. 231.302€		
1.1.000	1U-04	TRCC Registration Files, Third Party Inspectors Applications, correspondence regarding Third Party Inspector registration and background checks.	AC+5		AC+5		AC = After registration has been withdrawn, cancelled, revoked, suspended or expired. Caution: Information contained in an application or background check that is not contained in another public record is excepted from disclosure pursuant to Property Code Sec. 416.002(d). Social Security Numbers provided pursuant to the Family Code Sec. 231.302€		

Retention Codes (Field 7) AC - After Closed, Terminated, Completed, Expired, Settled CE - Calendar Year End LA - Life of Asset PM - Permanent AV - Administrative Value FE - Fiscal Year End M - Months US - Until Superseded	Archival Codes (Field 8) A - Transfer to State Archives R - Review by State Archives
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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
1.1.000	1U-05	TRCC Registration Files, Star Builder Applications and forms, eligibility documentation and correspondence related to Star Builder registration.	AC+10		AC+10	AC = After registration has been withdrawn, cancelled, revoked, suspended or expired.		
1.1.000	1U-06	TRCC Third Party Inspector Training	AC+1		AC+1	AC = As long as the training is used. Govt. Code Sec. 552.122.		
1.1.000	1U-07	TRCC Reistration Files, Homes Applications and registration correspondence.	AC+1		AC+1	AC = After registration issued.		
1.1.000	1U-08	TRCC Denial of Registration All correspondence including applications and background checks.	AC+5		AC=5	AC = After expiration of period to appeal or after settlement.		
1.1.000	1U-09	TRCC State Sponsored Inspection & Dispute Resolution Process (SIRP) Files Includes fee waivers and notices to Inspectors from commission, request forms, Inspector reports, correspondence.	AC+5		AC+5	AC = The date the file is closed.		

Retention Codes (Field 7) AC - After Closed, Terminated, Completed, Expired, Settled CE - Calender Year End LA - Life of Asset PM - Permanent AV - Administrative Value FE - Fiscal Year End M - Months US - Until Superseded	Archival Codes (Field 8) A - Transfer to State Archives R - Review by State Archives
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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
1.1.000	1U-10	TRCC Appeals of Denials and Disciplinary Action Pending litigation, work product, transcripts, filings and resulting orders.	AC+5		AC+5	AC = After commission final order or judgement.		
1.1.000	1U-11	TRCC Disciplinary Actions Reprimands, administrative penalties.	AC+5		AC+5	AC = Date of commission order.		
1.1.000	1U-12	TRCC Probation Files	AC+5		AC+5	AC = Date of commission order.		
1.2.000	1U-13	Records Representatives Listing A listing of staff members that represent their areas in records management.	US		US	Electronic/Open.		
1.2.005	1U-14	Records Retention Schedule (SLR 105) Agency copy. Formerly RMD 105. Includes documentation of certification and approval - forms SLR 105C (formerly RMD 105C) and/or other forms designated by the State Records Administrator	US+3		US+3	Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission. Electronic/Open.		

Retention Codes (Field 7) AC - After Closed, Terminated, Completed, Expired, Settled CE - Calendar Year End LA - Life of Asset PM - Permanent AV - Administrative Value FE - Fiscal Year End M - Months US - Until Superseded	Archival Codes (Field 8) A - Transfer to State Archives R - Review by State Archives
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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
1.2.006	1U-15	Records Transmittal Forms Agency copy (includes RMD 101, Tx-R-5, 306-58-1, and Agency Storage Forms). Forms indicate records transferred to storage or a transfer to legal custody.	AC+2		AC+2	AC = Date of authorization for destruction, permanent transfer from storage, or transfer to the Archives and Information Services Division, TSLAC, by the agency records management officer. Paper/Confidential.		
1.2.008	1U-16	Request for Authority to Dispose of State Records (RMD102) Agency copy.	FE+3		FE+3	Original is retained by the State and Local Records Management Division, TSLAC. Paper/Confidential.		
1.2.010	1U-17	Records Disposition Logs Logs or similar records listing records destroyed or transferred to the Archives and Information Services Division, Texas State Library and Archives Commission, showing records series title, dates of records, and date destroyed or transferred.	10		10	Paper/Open.		
1.2.011	1U-18	Record Center Storage Approval Forms (RMD 106) Agency Copy.	US		US	Paper/Open.		

Retention Codes (Field 7) AC - After Closed, Terminated, Completed, Expired, Settled CE - Calendar Year End LA - Life of Asset PM - Permanent AV - Administrative Value FE - Fiscal Year End M - Months US - Until Superseded	Archival Codes (Field 8) A - Transfer to State Archives R - Review by State Archives
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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
6.0.001	1U-22	Hospital Patient Records Complete medical record.	AC+20		AC+20	AC = Date of release from hospital. These are hospital records of patients treated in defunct hospitals and the patient records were transferred to the State Comptroller's Office per the Government Code.		

Retention Codes (Field 7) AC - After Closed, Terminated, Completed, Expired, Settled CE - Calendar Year End LA - Life of Asset PM - Permanent AV - Administrative Value FE - Fiscal Year End M - Months US - Until Superseded	Archival Codes (Field 8) A - Transfer to State Archives R - Review by State Archives
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2. Agency Code 304 **3. Agency Name:** **Texas Office of the Comptroller** **Support Services**

4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total				
1.1.000	1J-01	Tracking Logs/Reports Includes logs for vault, daily activity sheets, certified logs for TPASS & Treasury, incoming Invitation for Bid/Request for Offer, and log note books for issuances of controlled items.	1		1		Issue and acknowledgments. Paper/Open.		
4.7.004	1J-02	Capital Asset Records A listing of all agency-owned Assets.	LA+3		LA+3		Electronic/Open		
5.1.001	1J-03	Lease Space Contracts Hard copy files maintained by the lease Administrator for all agency leased space.	AC+4		AC+4		AC = Expiration or termination of instrument according to its term.		

Retention Codes (Field 7)	Archival Codes (Field 8)
AC - After Closed, Terminated, Completed, Expired, Settled CE - Calendar Year End LA - Life of Asset PM - Permanent AV - Administrative Value FE - Fiscal Year End M - Months US - Until Superseded	A - Transfer to State Archives R - Review by State Archives



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2. Agency Code **304** **3. Agency Name:** **Texas Office of the Comptroller** **Support Services**

4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total			
5.2.004	1J-08	Move Requests/Space Configurations Documentation of move requests by divisions. Includes floor space design and division approval of layout changes.	1		1			
5.2.009	1J-09	Equipment Accountability Sheets Equipment inventory detail accountability report forms maintained by the property manager in Support Services.	FE+3		FE+3			
5.2.014	1J-10	Annual Inventory Results of the annual physical inventory of agency-owned assets.	FE+3		FE+3			
5.2.019	1J-11	Service Orders Messenger requests from internal customers.	1		1			
5.2.020	1J-12	Supply Picking Tickets Picking tickets of all forms and supply request for stock.	FE+1		FE+1			

Retention Codes (Field 7) AC - After Closed, Terminated, Completed, Expired, Settled CE - Calendar Year End LA - Life of Asset PM - Permanent AV - Administrative Value FE - Fiscal Year End M - Months US - Until Superseded	Archival Codes (Field 8) A - Transfer to State Archives R - Review by State Archives
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2. Agency Code	304	3. Agency Name:	Texas Office of the Comptroller	Support Services
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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
5.3.000	1J-13	Return Merchandise Logs Log of all merchandise returned to sender with recorded RMA for tracking.	AV		AV	Status log of all merchandise that is returned per reason of recipient. Paper/Open.		
5.3.005	1J-14	Freight Bills of Lading This records series documents the receipt of equipment, supplies, other items and services from vendors. The series includes: packing slips; shipping and container lists; and bills of lading.	AV		AV	Paper/Open.		
5.4.000	1J-15	Digital Video Recordings Security system records that records all activity within the LBJ Building.	AC		AC	AC = Less than 30 days. System records over itself automatically. Electronic/Confidential.		
5.4.001	1J-16	Automobile Accident Reports 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	Automobile Accident Reports. Comptroller of Public Accounts Form 2690-2.70. Paper/Open.		

Retention Codes (Field 7)	Archival Codes (Field 8)
AC - After Closed, Terminated, Completed, Expired, Settled	A - Transfer to State Archives
AV - Administrative Value	R - Review by State Archives
CE - Calendar Year End	
FE - Fiscal Year End	
LA - Life of Asset	
M - Months	
PM - Permanent	
US - Until Superseded	



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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
5.4.002	1J-17	Evacuation Plans Plans for evacuation of agency facilities in case of emergency.	US		US	Electronic/Confidential.		
5.4.012	1J-18	Security Access Records Records relating to the issuance of office keys, identification badges, security access badges, field badges, signed statements and electronic files.	AC+2		AC+2	AC = Until superseded, date of expiration, or date of termination, whichever sooner. Includes key cards. Electronic/Confidential.		
5.6.003	1J-19	Vehicle Maintenance Records Documentation of completed maintenance work.	LA+1		LA+1	Paper/Open.		
5.6.005	1J-20	Fuel Receipts Vehicle fuel receipts	FE+3		FE+3	Paper/Open		

Retention Codes (Field 7)	Archival Codes (Field 8)
AC - After Closed, Terminated, Completed, Expired, Settled CE - Calendar Year End LA - Life of Asset PM - Permanent AV - Administrative Value FE - Fiscal Year End M - Months US - Until Superseded	A - Transfer to State Archives R - Review by State Archives



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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
5.6.005	1J-21	Vehicle Use Reports Documentation of mileage, fuel/oil consumption, passengers carried and other related operational information.	FE+3		FE+3	Paper/Open.		
5.6.007	1J-22	Vehicle Titles/ Registration Documentation of all vehicle titles within the Support Services Division.	LA		LA	Paper/Open.		

Retention Codes (Field 7) AC - After Closed, Terminated, Completed, Expired, Settled CE - Calendar Year End LA - Life of Asset PM - Permanent AV - Administrative Value FE - Fiscal Year End M - Months US - Until Superseded	Archival Codes (Field 8) A - Transfer to State Archives R - Review by State Archives
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2. Agency Code 304	3. Agency Name: Texas Office of the Comptroller	Data Services
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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
1.1.000	1Q-01	Registration Memos Memos requesting to attend training or conferences.	1		1			
1.1.000	1Q-02	Convention Files Posters and booth displays.	AC+2		AC+2			
1.1.019	1Q-03	Newsletter Articles Editorial newsletters written by the Editorial Team.	2		2	R		
1.1.040	1Q-04	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC		AC	R		
2.1.000	1Q-05	@CPA Website Comptroller's Internal and external website.	AV		AV			

Retention Codes (Field 7) AC - After Closed, Terminated, Completed, Expired, Settled CE - Calendar Year End LA - Life of Asset PM - Permanent AV - Administrative Value FE - Fiscal Year End M - Months US - Until Superseded	Archival Codes (Field 8) A - Transfer to State Archives R - Review by State Archives
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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
2.1.001	1Q-06	Processing Files Records used by the Data Team for reports and/or Open Records requests from internal and external customers. Machine-readable files used in the creation, utilization, and updating of master files.	AC		AC	AC = Completion of numbered update cycle. Processing files. Mainframe/Magnetic Tape. Electronic/Open. Data Team.		
2.1.002	1Q-07	Automated Files-Master Files Computer files containing organized and consistent sets of complete and accurate electronic records. Examples include, but are not limited to, data tables of relational databases used by applications or computer programs.	AC		AC	AC = Output data file extracted from system solely to produce printed reports or other publications. Dispose of when no longer needed to create report or publication. Master data base files. Data Team.		
5.1.000	1Q-08	Digital Photo Files Digital files.	AV		AV	Electronic and Photos/Open. Graphics. Saved on graphic server.		
5.1.004	1Q-09	Publication Mailing Database Database for tracking publication requests.	US		US	Electronic/Open. Administration.		

Retention Codes (Field 7) AC - After Closed, Terminated, Completed, Expired, Settled CE - Calendar Year End LA - Life of Asset PM - Permanent AV - Administrative Value FE - Fiscal Year End M - Months US - Until Superseded	Archival Codes (Field 8) A - Transfer to State Archives R - Review by State Archives
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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total				
5.1.007	1Q-10	Requisitions for In-Agency Copy/Printing Services Work orders for illustrations, copies and printing services.	AV		AV		Work orders for illustration, copy and printing services. Paper/Open. Graphics.		
5.1.007	1Q-11	Tracking Paper Logs Forms documenting approval/progress of materials and/or publications to be printed.	1		1		Paper/Open. Graphics.		

Retention Codes (Field 7) AC - After Closed, Terminated, Completed, Expired, Settled CE - Calendar Year End LA - Life of Asset PM - Permanent AV - Administrative Value FE - Fiscal Year End M - Months US - Until Superseded	Archival Codes (Field 8) A - Transfer to State Archives R - Review by State Archives
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2. Agency Code	304	3. Agency Name: Texas Office of the Comptroller	Research and Analysis
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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
1.1.065	1L-01	Reports and Studies - Raw Data Data collected and compiled for the purpose of producing reports or publications.	AV		AV	Electronic, Paper/Open.		
1.3.001	1L-02	Special Project - Publications Final published work. Final submitted to the Texas State Publications Depository Program, Texas State and Archives Commission, by law (Government Code 441.101-441.106).	AC+2		AC+2	AC = Until superseded or obsolete. Electronic, Paper/Open.		

Retention Codes (Field 7) AC - After Closed, Terminated, Completed, Expired, Settled CE - Calendar Year End LA - Life of Asset PM - Permanent AV - Administrative Value FE - Fiscal Year End M - Months US - Until Superseded	Archival Codes (Field 8) A - Transfer to State Archives R - Review by State Archives
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2. Agency Code	304	3. Agency Name: Texas Office of the Comptroller	Communications
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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total				
1.1.019	2M-01	Press Conferences Audio or videotapes of press conferences.	2		2	R	Video tapes are routed to the State Archivist for archival review. Audio tapes/Open.		
1.1.019	2M-02	Public Relations Records News, press releases, or any public relations files maintained or issued by the Comptroller's Office.	2		2	R	Includes print, electronic, audio and audiovisual records. Open.		
1.1.019	2M-03	Radio PSA's Radio features	2		2	R	Downloaded to CD from the web. Open.		
1.1.040	2M-04	Speeches Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC		AC	R	AC = End of term in office, or termination of service in a state position. Electronic/Open.		

Retention Codes (Field 7) AC - After Closed, Terminated, Completed, Expired, Settled CE - Calendar Year End LA - Life of Asset PM - Permanent AV - Administrative Value FE - Fiscal Year End M - Months US - Until Superseded	Archival Codes (Field 8) A - Transfer to State Archives R - Review by State Archives
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2. Agency Code **304** **3. Agency Name:** **Texas Office of the Comptroller** **Economic Development & Analysis**

4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
1.1.000	1N-05	Chapter 313 - Applications Tax Code, Chapter 313 The Texas Economic Development Act. This Act allows school districts to attract new taxable property by offering a tax credit and an eight-year limitation on the appraised value of a property for the maintenance and operations portion of the school district property tax.	15		15	Agreements are for 13 years and 2 more years are allowed for biennial review. Economic Analysis		

Retention Codes (Field 7) AC - After Closed, Terminated, Completed, Expired, Settled CE - Calendar Year End LA - Life of Asset PM - Permanent AV - Administrative Value FE - Fiscal Year End M - Months US - Until Superseded	Archival Codes (Field 8) A - Transfer to State Archives R - Review by State Archives
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2. Agency Code 304	3. Agency Name: Texas Office of the Comptroller	Economic Development & Analysis
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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
1.1.000	1N-06	Event Trust Funds - Administrative Files Files to administer state entities participation in the four event cost sharing trust accounts: Major Events Trust Fund (Tex. Rev. Civ. Stat. Art 5190.14, Sec. 5A); Motor Sports Racing Trust Fund (Tex. Rev. Civ. Stat. Art 5190.14 Sec. 5B); Events Trust Fund (Tex. Rev. Civ. Stat. Art 5190.14 Sec. 5C); and the Special Events Trust Fund (Local Gov't Code, Chapter 398). Documentation includes receipts from state entities (cities, counties, municipalities, organizations, other) for which reimbursements are sought. Documentation also includes funds management documentation including worksheets and event history that are associated with state and local participation	FE+7		FE+7			
1.1.000	1N-07	Tax Abatement Central Registry- Assigned, Modified or Cancelled A registry of Texas businesses and taxing units that have tax abatements.	AC+2		AC+2			

Retention Codes (Field 7) AC - After Closed, Terminated, Completed, Expired, Settled CE - Calendar Year End LA - Life of Asset PM - Permanent AV - Administrative Value FE - Fiscal Year End M - Months US - Until Superseded	Archival Codes (Field 8) A - Transfer to State Archives R - Review by State Archives
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2. Agency Code **304** **3. Agency Name:** **Texas Office of the Comptroller** **Property Tax**

4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total				
1.1.000	2Y-09	Methods Assistance Program Working Documents and Data Documents from various sources including appraisal districts used by MAP reviewers in preparing the MAP reports, plus related forms, manuals and correspondence.	AC+5		AC+5		AC = Publication of the MAP Report, usually in December. Electronic and paper documents. Open and		
1.1.000	2Y-10	Arbitration Records Documents involved in request for arbitration, notifications, choosing arbitrator, and determinations. Related forms, manuals and correspondence.	AC+5		AC+5		AC = Date funds resulting from a determination are delivered to appropriate parties. Electronic and paper. Open and confidential.		
1.1.000	2Y-11	Arbitration/ Registry Records Registry applications and related correspondence.	AC+5		AC+5		AC = When an arbitrator does not renew registration. Open and confidential. Electronic.		

Retention Codes (Field 7) AC - After Closed, Terminated, Completed, Expired, Settled CE - Calendar Year End LA - Life of Asset PM - Permanent AV - Administrative Value FE - Fiscal Year End M - Months US - Until Superseded	Archival Codes (Field 8) A - Transfer to State Archives R - Review by State Archives
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2. Agency Code 304	3. Agency Name: Texas Office of the Comptroller	Property Tax
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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total				
1.1.048	2Y-15	Litigation Files / Appeal Files PVS Protests/ Litigation Files. Records created or received by or on behalf of an agency, in anticipation of or in the adjudication of a lawsuit.	AC +1	9	AC+10	R	AC = After final certification to TEA of the PVS. Paper and electronic. Open and confidential.	93-304-083	
4.0.000	2Y-16	Refund for Economic Development Refund applications from taxpayers as required by repealed Tax Code Section 111.301-304.	AC+5		AC+5		AC = 5 application cycles over a maximum of 10 years. Paper and Electronic. Open and confidential.		
4.2.001	2Y-17	Cash Deposit Log Spreadsheet listing incoming checks, cash and the item purchased.	FE+3		FE+3		Paper and Electronic. Open.		
4.7.000	2Y-18	Permanent University Fund Tax Files Notice of appraise value and tax statements from counties in the Permanent University Fund lands.	AC+2	21	AC+23	R	AC = After tax bills are paid Jan. 31 of each year for previous tax year. Paper and electronic. Open.	93-304-082	

Retention Codes (Field 7) AC - After Closed, Terminated, Completed, Expired, Settled CE - Calendar Year End LA - Life of Asset PM - Permanent AV - Administrative Value FE - Fiscal Year End M - Months US - Until Superseded	Archival Codes (Field 8) A - Transfer to State Archives R - Review by State Archives
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2. Agency Code **304** **3. Agency Name:** **Texas Office of the Comptroller** **Property Tax**

4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
5.1.012	2Y-19	Charge Schedules- Price Lists Schedules of prices charged by an agency for services to the public or other agencies.	US+3		US+3	Price list for documents and publications. Electronic. Open.		

Retention Codes (Field 7) AC -After Closed, Terminated, Completed, Expired, Settled CE - Calender Year End LA - Life of Asset PM - Permanent AV - Administrative Value FE - Fiscal Year End M - Months US - Until Superseded	Archival Codes (Field 8) A - Transfer to State Archives R - Review by State Archives
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2. Agency Code **304** **3. Agency Name:** **Texas Office of the Comptroller** **State Energy Office**

4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
4.2.006	9A-01	General Ledgers and Contract Voucher Entries A record of budget entries and transfers of funds between an agency's budgets. Also includes Oil Overcharge Reports.	FE+3		FE+3	Paper and Electronic/Open.		
4.7.000	9A-02	Grant Application Plan SECO state energy plan submitted to the United States Department of Energy.	FE+4		FE+4	Paper and Electronic/Open.		
4.7.008	9A-03	Federal Grant Records Copies of the Notice of Financial Assistance Awards (NFAA) , Financial Status Reports, including Revolving Loan Fund Reports and records of SECO grants. Copies of original records may be substituted for the original records if authorized by awarding agency. Rebate program closed 6/10/2011.	AC+3		AC+3	AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative agreements to State and Local Governments, including the Revolving Loan Program and extension of Federal State Energy Program funding (The Common Rule, 36 CFR Sec. 1207.42(b), and OMB Circular A-102.) Paper and Electronic/Open.		

<p>Retention Codes (Field 7)</p> <p>AC - After Closed, Terminated, Completed, Expired, Settled CE - Calendar Year End LA - Life of Asset PM - Permanent</p> <p>AV - Administrative Value FE - Fiscal Year End M - Months US - Until Superseded</p>	<p>Archival Codes (Field 8)</p> <p>A - Transfer to State Archives</p> <p>R - Review by State Archives</p>
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2. Agency Code 304	3. Agency Name: Texas Office of the Comptroller	Fiscal Integrity
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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
1.1.000	3A-01	Cash Management Improvement Act and Governmental Accounting Standard Board The Cash Management Improvement Act is federal legislation governing the transfer of funds between the US Treasury and states. States (and state agencies) are to minimize the amount of time in advance of payment that they draw federal funds. The Comptroller calculates and pays the state's interest liability on behalf of agencies receiving federal funds for programs covered by an annual agreement with the US Treasury.	FE+3		FE+3			
1.1.000	3A-02	Agency 902 Files Files which contain original budget set-up documents, special transactions unique to the agency, correspondence dealing with specific agency issues.	4		4			
1.1.000	3A-03	Super Security Deletes Records documenting Super Security Delete requests from state agencies.	FE+1		FE+1			

Retention Codes (Field 7)	Archival Codes (Field 8)
AC - After Closed, Terminated, Completed, Expired, Settled CE - Calendar Year End LA - Life of Asset PM - Permanent	A - Transfer to State Archives
AV - Administrative Value FE - Fiscal Year End M - Months US - Until Superseded	R - Review by State Archives



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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
2.2.000	3A-04	USAS Central Profile Change Request Forms These forms document central profile changes to USAS. The forms contain approval signatures and supporting documentation for the changes made. The useful life of this documentation corresponds to the period of use of the USAS system.	AC		AC	AC = Period of the use of USAS. Fiscal Analysis. Paper/Open. Fiscal 2010 & older stored at the warehouse.		
2.2.000	3A-05	Application Change Request (ACR) Files - Ongoing Use. Records of ACRs that are needed for documentation updates, research, problem resolution, and future enhancements to statewide financial systems processing, reports, or screens. The systems are USAS, USPS, HRIS, SPRS, SPA, TINS, PAYSUBS, and SWR.	AV		AV	Records of ACRs involving enhancements to statewide financial systems. Paper/Open. Fiscal Analysis.		

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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total				
4.2.000	3A-08	Allocation (Vouchers) Files The folders holding the documentary record of the transaction to make a proportionate distribution, for a specific purpose, of tax revenue collected according to Texas State Statutes. Working papers and documents used to process the allocation payments.	FE+3		FE+3		Paper, Electronic/Open. Appropriation Control.		
4.2.006	3A-09	Journal Vouchers A record of budget entries and transfers of funds between State Agency's budgets.	FE+3		FE+3		Cash management Improvement Act Transfers. Paper,Electronic/Open. Appropriation Control.		
4.3.000	3A-10	Manual of Accounts The Manual of Accounts is a resource document for the state's accounting system. Each agency, revenue source, expenditure and fund/account is assigned a numerical code. The manual provides descriptive information to outline the proper use of each code.	AV		AV		Paper, Electronic/Open. Fiscal Analysis.		

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2. Agency Code 304 **3. Agency Name:** **Texas Office of the Comptroller** **Fiscal Integrity**

4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total			
4.5.000	3A-11	USAS Annual Reports These records document the GL Close error corrections needed to close the state's accounting books in USAS for a fiscal year.	5		5	Paper, Electronic/Open. Fiscal Analysis.		
4.5.001	3A-12	Agency 902 Annual Financial Report (AFR) Working Files Work papers to prepare the agency 902 Annual Fiscal Report (AFR) in compliance with the Comptrollers reporting requirements.	FE+3		FE+3	Financial Reporting. Paper, Electronic/Open.		
4.5.001	3A-13	Worksheets for Preparing Fiscal Reports This records series consists of the supporting documents of the financial status of the specific entity concerning its operation for the preceding year in compliance with the Comptrollers reporting requirements.	FE+2	1	FE+3	Financial Reporting prepares CAFR & Fiscal Analysis prepares Cas Report. Paper, Electronic/Open.	97-304-207	
4.5.003	3A-14	Annual Financial Reports Annual Financial Reports required by Texas Government Code, Section 403.013.	AC+6		AC+6	AC= September 1 of odd numbered calendar years. Financial Reporting prepares CAFR & Fiscal Analysis prepares Cash Report. Paper/Open.		

Retention Codes (Field 7) AC - After Closed, Terminated, Completed, Expired, Settled CE - Calendar Year End LA - Life of Asset PM - Permanent AV - Administrative Value FE - Fiscal Year End M - Months US - Until Superseded	Archival Codes (Field 8) A - Transfer to State Archives R - Review by State Archives
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2. Agency Code **304** **3. Agency Name:** **Texas Office of the Comptroller** **Fiscal Integrity**

4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total				
4.7.000	3A-15	<p>Bill Costing Files</p> <p>Any and all documents and correspondence dealing with the biennial costing of the appropriations bill. An electronic copy of the official document is also kept on the shared G drive for Appropriation Control.</p>	8		8		Paper, Electronic/Open. Appropriation Control.		
4.7.006	3A-16	<p>Agency 902 Monthly Reconciliations</p> <p>Provides detail information on accounting event generated by USAS each month. It is used to reconcile monthly activity on funds/accounts administered by the Comptroller's Office and Fund/Account collected by the Comptroller for other state agencies or universities as required by statute. These revenues are then RTI to the agencies or universities.</p>	FE+1	2	FE+3		Paper, Electronic/Open. Appropriation Control.	96-304-111	

<p>Retention Codes (Field 7)</p> <p>AC - After Closed, Terminated, Completed, Expired, Settled CE - Calendar Year End LA - Life of Asset PM - Permanent</p> <p>AV - Administrative Value FE - Fiscal Year End M - Months US - Until Superseded</p>	<p>Archival Codes (Field 8)</p> <p>A - Transfer to State Archives</p> <p>R - Review by State Archives</p>
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2. Agency Code	304	3. Agency Name: Texas Office of the Comptroller	Fiscal Integrity
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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
5.2.014	3A-17	Inventory-SPA Agency Compliance Files Properties, equipment, supply verification. Annually catalog required Inventory Certification Form #73-238, AFR Reconciliation Form #74-198 and Agency Primary Property Contacts Form #73-286.	FE+3		FE+3	Financial Reporting. Paper, Electronic/Open.		

Retention Codes (Field 7) AC - After Closed, Terminated, Completed, Expired, Settled CE - Calendar Year End LA - Life of Asset PM - Permanent AV - Administrative Value FE - Fiscal Year End M - Months US - Until Superseded	Archival Codes (Field 8) A - Transfer to State Archives R - Review by State Archives
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2. Agency Code **304** **3. Agency Name:** **Texas Office of the Comptroller** **Statewide Fiscal Services**

4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total				
1.1.000	3B-01	Letters of Authorization (LOA) for Data Changes in CAPPs, HRIS, SPRS and USPS Form granting Fiscal Management authorization to make data changes to agencies' payroll and personnel data in the Centralized Accounting & Payroll/Personnel System (CAPPs), Human Resource Information System (HRIS), Standardized Payroll/Personnel Reporting System (SPRS) & Uniform Statewide Payroll/Personnel System (USPS).	4		4		Statwide Human Resources & Payroll Assistance (SHRPA). Paper, Imaged/Confidential.		
1.1.000	3B-02	Report Certifications Certification form signed by agency personnel verifying receipt and verification of the Report for the Annual Report, EEO, EEO4 Report and Veteran Report	US		US		SHRPA . Paper, Imaged/Open.		

Retention Codes (Field 7) AC - After Closed, Terminated, Completed, Expired, Settled CE - Calendar Year End LA - Life of Asset PM - Permanent AV - Administrative Value FE - Fiscal Year End M - Months US - Until Superseded	Archival Codes (Field 8) A - Transfer to State Archives R - Review by State Archives
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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
3.1.035	3B-06	Surety Bonds/Honesty Bonds: Peace Officers Bonds required by state statute-copies are sent to CPA & Secretary of State by the agency or institution.	AC+4		AC+4	AC = Expiration or termination of the bond according to its terms. Expenditure Assistance Section. Paper/Open.		
3.2.000	3B-07	Salary Supplementation for Fiscal Year Higher education reports: base plus supplement to salary for chancellors and presidents.	FE+3		FE+3	SHRPA. Paper, Imaged/Open.		
3.2.000	3B-08	Executive Director Salary Change Letters signed by the governing board of agencies advising that the executive director's salary has been approved to increase per the General Appropriations Act (GAA).	US+FE+3		US+FE+3	SHRPA. Paper, Imaged/Open.		
3.2.003	3B-09	Federal Tax Record W-2C (correct W-2) for state agencies used to correct payroll records at year-end.	AC+4		AC+4	AC = Tax due date, date claim is filed, or date tax is paid whichever is later. SHRPA. Paper/Confidential.		

Retention Codes (Field 7)	Archival Codes (Field 8)
AC - After Closed, Terminated, Completed, Expired, Settled AV - Administrative Value	A - Transfer to State Archives R - Review by State Archives
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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total				
4.2.000	3B-13	Miscellaneous Claims Vouchers and Files Documents received from claimant that contains information the Comptroller is required to keep in accordance with Texas Government Code Annotated 403.074.	FE+1	2	FE+3		Paper, Electronic. Open & Confidential. Expenditure Assistance.	91-304-054	
4.2.000	3B-14	Miscellaneous Claims No Response Files Correspondence sent to claimants in which no response has been received to complete the file.	FE+1		FE+1		Paper, Electronic. Open & Confidential. Expenditure Assistance.		
4.2.000	3B-15	Settlements and Judgment Files Copies of vouchers and related documentation supporting payment of Tort Claims.	FE+3		FE+3		Expenditure Assistance Section. Paper/Open & Confidential.		

Retention Codes (Field 7) AC - After Closed, Terminated, Completed, Expired, Settled CE - Calendar Year End LA - Life of Asset PM - Permanent AV - Administrative Value FE - Fiscal Year End M - Months US - Until Superseded	Archival Codes (Field 8) A - Transfer to State Archives R - Review by State Archives
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2. Agency Code **304** **3. Agency Name:** **Texas Office of the Comptroller** **Statewide Fiscal Services**

4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total				
4.2.005	3B-16	<p>ORP Vouchers</p> <p>These records are payments made to counties that have voters registered in their county as shown by certified statements submitted by the Registrar to the Secretary of State. TEX. GOV'T. CODE ANN. Sec. 830.202(d) (Vernon Supp.2002) requires institutions of higher education to certify to the Comptroller of Public Accounts (Comptroller) estimates of the funds needed to pay the state matching contributions for their employees participating in the Optional Retirement Program (ORP).</p>	FE+1	2	FE+3		Based on the certifications received from the Secretary of State, a project budget is established for each county in USAS by the Comptroller's Fiscal Management Division. Paper - Confidential/Electronic - Open. Expenditure Assistance.	97-304-206	
4.2.005	3B-17	<p>Expedite Purchase Vouchers</p> <p>Form submitted by agencies when requesting an expedite payment.</p>	FE+3		FE+3		Payment Services. Imaged/Confidential.		
4.4.000	3B-18	<p>Single Warrant Release Requests</p> <p>Forms from hold source agencies requesting the release of a single warrant.</p>	FE+7		FE+7		Payment Services. Imaged/Confidential.		

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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
4.4.000	3B-23	Application to Report Indebtedness Form completed by agencies to apply for a hold reason code.	AC		AC	AC = Until hold reason code is no longer needed by requesting agency. Payment Services. Paper, Imaged/Open.		
4.4.000	3B-24	Daily Warrant Transmittal Reports Warrant signature report signed by agency representatives when picking up warrants for their agencies.	8		8	Payment Services. Imaged/Confidential.		
4.6.001	3B-25	Direct Deposit Balancing Reports Monthly reports used for monitoring timely payroll processing and for fund reconciliation (Monthly Direct Deposit Summary Listing - Employees plus the Payment Services worksheets for state payroll and ERS/TRS payroll).	FE+3		FE+3	Payment Services. Imaged/Open.		
4.6.002	3B-26	Reconciling Work Files Monthly USAS/Treasury Fund Cash Reconciliation report downloaded from TSO.	FE+3		FE+3	Expenditure Assistance. Paper/Electronic/Open.		

Retention Codes (Field 7)	Archival Codes (Field 8)
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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total				
4.7.000	3B-30	Miscellaneous Claims Tracking System Electronic Microsoft Access System used to track Miscellaneous Claims that Statewide Fiscal Services receives from Claimants and State Agencies. System also contains information required by the Texas Government Code Annotated 403.074.	AV		AV		Expenditure Assistance. Electronic/Open & Confidential.		
4.7.012	3B-31	Voucher Signature Cards Voucher signature cards and correspondence with agencies regarding signature authorization	US+FE+3		US+FE+3		Expenditure Audit. Paper/Open.		
4.7.012	3B-32	Letter Of Authorization (LOA) Signature List Letter and signature form listing the agency's authorized personnel who can submit a LOA.	US+FE+3		US+FE+3		SHRPA. Paper, Imaged/Open.		
5.1.001	3B-33	Bailment Contracts Forms signed by agency heads every two years stating they will not release payroll warrants prior to pay day, and contract violations correspondence.	AC+4		AC+4		AC = January 31 for even numbered years. Payment Services. Paper, Imaged/Open.		

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M - Months	
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US - Until Superseded	



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2. Agency Code 304 **3. Agency Name:** **Texas Office of the Comptroller** **Statewide Fiscal Systems**

4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total				
1.1.000	3H-01	Texas Online Certifications Records documenting interface test compliance and certification for Texas Online applications interfacing to the statewide accounting system.	FE+1		FE+1		Paper/Open. Security Administration.		
1.1.000	3H-02	Semi-Annual Security Confirmations Records from state agency security coordinators confirming their users' application-level accesses to CAPPS, USAS, USPS, SPRS, HRIS, SPA, and WWIC systems.	FE+1		FE+1		Paper/Open. Security Administration.		
1.1.043	3H-03	User Group Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. User Group meeting materials for CAPPS User Group, HRIS User Group, Security Coordinator Monthly Meetings, SPA User Group, SPRS User Group, USAS User Group & USPS User Group.	US+1		US+1		US= Until the next user Group Meeting. Fiscal Projects & Operations. Electronic/Open.		

Retention Codes (Field 7) AC - After Closed, Terminated, Completed, Expired, Settled CE - Calendar Year End LA - Life of Asset PM - Permanent AV - Administrative Value FE - Fiscal Year End M - Months US - Until Superseded	Archival Codes (Field 8) A - Transfer to State Archives R - Review by State Archives
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2. Agency Code 304 **3. Agency Name:** **Texas Office of the Comptroller** **Statewide Fiscal Systems**

4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total				
3.1.000	3H-06	State Government Accounting Security Records Records from state agency security coordinators requesting their users' application-level accesses to Statewide Financial Systems.	FE+5		FE+5		Security Administration. Paper/Confidential. Fiscal 2008-2010 stored at warehouse.		
3.3.030	3H-07	Training Center Administrative Records Instructional materials and class attendance rosters associated with in-house and external training of state agency & higher education personnel on policies & procedures that govern an agency's programs, services or projects. Per Texas Admin Code, Title 22, Part 22, Ch 523, Sub Ch D (Standards for Continuing Professional Education Programs & Rules for Sponsors), Rule §523.143(b) documentation shall be retained for five years from the date the program is completed."	FE+5		FE+5		Fiscal Projects & Operations. Paper/Open.		

Retention Codes (Field 7) AC - After Closed, Terminated, Completed, Expired, Settled CE - Calendar Year End LA - Life of Asset PM - Permanent AV - Administrative Value FE - Fiscal Year End M - Months US - Until Superseded	Archival Codes (Field 8) A - Transfer to State Archives R - Review by State Archives
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2. Agency Code **304** **3. Agency Name:** **Texas Office of the Comptroller** **Audit**

4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total				
1.1.038	2I-09	Feedback Forms Feedback forms from Audit training classes must be kept 3 years for State Board of Public Accountancy, per Chapter 523, Subchapter B, Rule 523.120 (b).	AC+3		AC+3		AC = After Completion of Course. Paper. Open.		
1.1.069	2I-10	Reports - Employees, Taxpayer Audit/Work Manager/Administrative Includes auditor time reports (ATRs) Workloads, Auditor Work Manager Reports, Planning Calendars, Flag Letters, Processing Review Forms, Taxpayer Audit/Work Manager inventory system reports, reports for division management, and certification reports to TABC and other agencies.	1		1		Paper, Computer and/or Electronic. Confidential.		
2.1.002	2I-11	Automated Files-Master Files Master database files. Output data file extracted from system solely to produce printed reports. Includes database files (CAMS datasets) used for computer files containing complete and electronic records.}	AC		AC		AC = Audit completion confirming successful transaction updates, or required audit trail maintenance. Disposed of when no longer needed to create a report. Electronic. Confidential.		

Retention Codes (Field 7) AC - After Closed, Terminated, Completed, Expired, Settled CE - Calendar Year End LA - Life of Asset PM - Permanent AV - Administrative Value FE - Fiscal Year End M - Months US - Until Superseded	Archival Codes (Field 8) A - Transfer to State Archives R - Review by State Archives
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2. Agency Code	304	3. Agency Name:	Texas Office of the Comptroller	Audit
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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
3.2.003	2I-12	Tax Returns Daily information captured electronically such as files or reports showing transactions accepted, rejected, suspended, and/or processed; history files/tapes; records of online updates to application files and security logs.	AC+20		AC+20	AC = All audit requirements have been met.		
3.3.026	2I-13	Staffing Reports Includes current level of staffing in each field office.	US+3		US+3	Paper/Electronic. Open		
3.3.027	2I-14	Test, Practical, Case Studies Results from test, practical, and case studies of auditors from training classes.	US+2		US+2	29 CFR 1602.31. Paper. Open.		
4.2.003	2I-15	Daily Cash Receipts Log Includes bank deposit slips.	FE+3		FE+3	Paper. Confidential.		

Retention Codes (Field 7)	Archival Codes (Field 8)
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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
4.3.002	2I-16	Check Log Register Registers or list of monies collected from taxpayer audits.	FE+3		FE+3	Paper/Electronic. Confidential.		
4.7.000	2I-17	Federal Tax Information (FTI) Database Electronic information from federal government. Federal tax information (FTI) 1099 Project, record layouts for the data from the TeraData System.	AC+5		AC+5	AC = Per agreement with the Federal Government, the retention period must be report year plus 5 years. Electronic. Confidential.		
4.7.000	2I-18	IRS Safeguard Review Records Federal Tax Information (FTI) Semi-Annual, In-House Safeguard Review form, Limited Access Security Log required by OTIS team, and annual FTI recertification training acknowledgements.	AV		AV	Paper/Electronic. Confidential.		
5.1.000	2I-19	Batch Sheet List of Taxpayer Audits sent to processing center.	CE+1		CE+1	Paper/Electronic. Confidential.		

Retention Codes (Field 7)	Archival Codes (Field 8)
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2. Agency Code	304	3. Agency Name: Texas Office of the Comptroller	Audit
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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
5.1.015	2I-20	Mailing Authorization/Log Mail pouch logs. Any record created by an agency to track any type of incoming and outgoing correspondence or packages by the U.S. Postal Service or by private couriers.	1		1			
5.2.008	2I-21	Computer Hardware Maintenance & Evaluations-Service Agreements Agreements or contracts between the agency and equipment vendor to provide maintenance service for laptops, PCs and/or printers.	LA+3		LA+3			
5.4.003	2I-22	Safety Checklist Fire, safety, and other inspection records of agency facilities and equipment.	AC+3		AC+3			AC = Inspection or date of the correction of the deficiency, if the inspection report reveals a deficiency. Paper. Open.

Retention Codes (Field 7) AC - After Closed, Terminated, Completed, Expired, Settled CE - Calendar Year End LA - Life of Asset PM - Permanent AV - Administrative Value FE - Fiscal Year End M - Months US - Until Superseded	Archival Codes (Field 8) A - Transfer to State Archives R - Review by State Archives
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2. Agency Code **304** **3. Agency Name:** **Texas Office of the Comptroller** **Enforcement**

4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
1.1.000	2H-01	Workload Review This records series includes personnel information kept in field offices.	AC+3		AC+3	AC = After review completed. (Headquarters only.)		
1.1.000	2H-02	Implementation Research and Documentation Information documenting the implementation of procedures and legislative changes.	AC+2		AC+2	AC = After completed. Headquarters only. Paper and/or Electronic Open.		
1.1.000	2H-03	Tracking Logs/Documentation Worksheets This record series includes Taxpayer Seminar Registration logs, cell phone logs,	FE+1		FE+1	Includes "Internal logs originated in the Field Office." May contain both open and confidential information. Paper and/or Electronic.		
1.1.000	2H-04	Notices-Freeze/Levy/Release This records series includes Freeze Form 01-396, Levy 01-397 and Authorization to Release Taxpayer Assets Form 01-395.	2M		2M	Paper and/or Electronic Open.		

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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
1.1.000	2H-05	Notices-Suspensions/Limited Seizures/Report of Property Seized This records series includes Texas Notice of Suspension of Limited Sales & Use Tax Permit Form 01-226, Report of Property Seized Form 00-320 and/or Notice of Seizure Form 00-336. Originals are kept in field offices.	6M		6M			
1.1.000	2H-06	Misdemeanor Collection Actions Active/Inactive This record series consist of documentation of enforced collection actions.	FE+3		FE+3			
1.1.000	2H-07	Reference Cards and Materials This record series includes reference cards created in Enforcement Headquarters.	US		US		Reference cards. Paper and/or Electronic Open.	

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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total				
1.1.000	2H-08	Canvassing Documentation This records series includes Form 00-730. Special event for example flea markets, festivals, Original documentation on a complaint, etc.	FE+1		FE+1		Special events for example: flea markets, festivals, etc. Records of Canvassing Field Assignments activity and field inspections. Paper and/or Electronic.		
2.1.002	2H-09	Agency Work Manager System Master Files Relatively long-lived computer files containing organized and consistent sets of complete and accurate electronic records. Examples include, but are not limited to, data tables of relational databases used by applications or computer programs.	AC		AC		AC = When hardware or software changes occur. Electronic.		
3.1.000	2H-10	Office Reviews Conducted to document performance appraisals of field office manager.	2		2		Paper and/or Electronic Open.		

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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total				
4.0.000	2H-11	Seizure Documentation-Full Seizure This records series includes notice of seizure Form 00-336, Form 00-320, Notice of Intent to Sell, Bill of Sale, Pre-seizure worksheet, Inventory sheets, Perishable Item Statement and Full Seizure Profile.	AV		AV		Documentation for collection activity. Paper and/or Electronic.		
4.0.000	2H-12	Issue and Acknowledgment Form This form is used for recording and controlling stamps/decals and receipt books sent to the field offices from the distribution center.	AC		AC		AC = After verification of stamps and decals and entry on-line, the original (white copy) of the Issue and Acknowledgement Form is sent back to the Distribution Center. Yellow copy of the Issue and Acknowledgement Form becomes a convenience copy. Paper/Open.		

Retention Codes (Field 7) AC - After Closed, Terminated, Completed, Expired, Settled CE - Calendar Year End LA - Life of Asset PM - Permanent AV - Administrative Value FE - Fiscal Year End M - Months US - Until Superseded	Archival Codes (Field 8) A - Transfer to State Archives R - Review by State Archives
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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total			
4.1.000	2H-13	Decals Issued when taxes/fees are paid if required.	3M		3M	<p>This record series includes amusement machine decals valid from January 1 through December 31 after issued. Amusement non-issued decals expire on December 31 of the year in which they were issued. The expired decals must be destroyed by assigned employees on the last day of the month. This record series also includes customs broker stamps valid on a quarterly basis: 1st quarter, expire March 31; 2nd quarter, expire June 30; 3rd quarter, expire September 31; 4th quarter, expire December 31. Customs broker non-issued stamps are to be destroyed on the last day of the month. Temporary LG decals Form 06-346 is an inspection sticker used only if an emergency situation exists. For example: vehicle sale. Paper and/or</p> <p>IFTA decals are to be destroyed by assigned employee yearly by March 31. Paper and/or Electronic.</p>		
4.1.000	2H-14	International Fuels Tax Agreement Decals This record series also includes international fuels tax agreement (IFTA) decals non-issued to interstate truckers.	3M		3M			

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			Agency	Storage	Total				
4.2.003	2H-15	<p>Monthly Office Checklist</p> <p>This record series includes Daily Cash and Non Cash Reports, Deposit Slips, Detachable Tab, Monthly Cash Change Verification Log, Deviation/Exception File and Weekly Bank Deposit Log.</p>	FE+3		FE+3		Paper and/or Electronic Open.		
5.1.001	2H-16	<p>Payment Agreements</p> <p>This record series includes agreements signed by taxpayers for delinquent taxes.</p>	AC+4		AC+4		AC = Expiration, termination, or default of instrument according to its term. Paper and/or Electronic Open.		
5.4.003	2H-17	<p>Inspection Records</p> <p>Fire, safety, and other inspection records of agency facilities and equipment.</p>	AC+3		AC+3		AC = Inspection or date of the correction of the deficiency, if the inspection report reveals a deficiency. Fire, safety and other inspection records of agency facilities and equipment.		

<p>Retention Codes (Field 7)</p> <p>AC - After Closed, Terminated, Completed, Expired, Settled CE - Calendar Year End LA - Life of Asset PM - Permanent</p> <p>AV - Administrative Value FE - Fiscal Year End M - Months US - Until Superseded</p>	<p>Archival Codes (Field 8)</p> <p>A - Transfer to State Archives</p> <p>R - Review by State Archives</p>
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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
1.1.000	2E-05	Tax Policy Documentation Working Files Correspondence, rulings, guidelines and similar items created or compiled by Tax Policy that are essential to recreate agency policies and legal positions.	AV		AV			
1.1.000	2E-06	Special Mailings One-time notification of policies or procedures related to affected parties, general public or industries.	CE+3		CE+3	One-time notification to affected parties, general public, or industry. Projects and Exemptions/Project Implementation. Paper/Open.		
1.1.000	2E-07	Insurance Tax Correspondence Correspondence from taxpayers. Some of these records are also in the Electronic Star System.	CE+4		CE+4	Hard copies and e-mails are kept for auditors, hearings, tax specialists, etc., until completion of retention period. Tax Policy, Insurance Tax. Paper and/or Electronic/Open.		
1.1.000	2E-08	Oil & Gas, Fuels and Miscellaneous Tax Correspondence Correspondence from taxpayers. Some of these records are also in the Electronic Star System.	CE+4		CE+4	Hard copies and e-mails are kept for auditors, hearings, tax specialists, etc., until completion of retention period. Tax Policy, Oil and Gas Miscellaneous Tax. Paper and/or Electronic/Open.		

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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
1.1.000	2E-09	Franchise Tax Correspondence Correspondence from taxpayers. Some of these records are also in the Electronic Star System.	CE+4		CE+4			
1.1.000	2E-10	Sales Tax and Motor Vehicle Correspondence Correspondence from taxpayers. Some of these records are also in the Electronic Star System.	CE+1	3	CE+4		90-304-031	
1.1.000	2E-11	Electronic Tax Research System State Tax Automated Research System.	PM		PM			
1.1.008	2E-12	Exempt Organization Letters Applications for exemption received that resulted in an organizations new exempt status.	1		1			

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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
1.1.026	2E-13	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 the Texas Register. Operation/Tax Policy Disseminations.		
1.2.003	2E-14	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 = Discontinuance of use of form. Original design request and all revisions. Design request may include purpose of form, frequency of use, quantity generated, method of printing, etc. Projects and Exemptions/Project Implementation. Electronic, Paper/Open.		
3.1.039	2E-15	Ombudsman Records Consultation records, notes, letters, memos, emails, reports and other documentation maintained by Ombudsman.	AC+1		AC+1	AC = Final decision or matter closed. Agency Ombudsman.		

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			Agency	Storage	Total				
1.1.000	2B-01	Amusement Tax Decals Information for issuing Amusement Decals which includes order and destruction processes.	1		1		Paper, Electronic/Open. 2B78		
1.1.000	2B-02	Taxpayer Documents Received Includes tax reports and supporting documents, original and renewal applications and manufacturer reports. Also includes documents relating to inspections of cigarette/tobacco permitted retailer locations indicating either a violation or a non-violation of the Health and Safety Code, Chapter 161. Once documents are imaged, the image becomes the agency record and paper is destroyed.	AC		AC		AC = When documents received from taxpayers are imaged. Confidential. 2B12, 2B61, 2B65, 2B67, 2B73, 2B74, 2B78.		
1.1.000	2B-03	Cigarette/Tobacco Vending Machine Permit/Decals Decals that are required to be affixed to the cigarette vending machine.	AC+1		AC+1		AC = After permit issued. Paper/Open. 2B78.		

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			Agency	Storage	Total	9. Remarks		
1.1.000	2B-04	Master Schedule A schedule generated by dates that include specific tax reports, non-filer scans, allocations/disbursal runs, liability and underpayment notices, permit renewals, non-renewal letters and other production reports.	CE+3		CE+3	Paper, Electronic/Open. 2B11.		
1.1.000	2B-05	Bexar County Sports Venue Tax Project Tax Reports for the Bexar County Sports Venue Tax Project.	FE+2		FE+2	Files are sent to Bexar County after two years. Paper/Confidential. 2B11.		
1.1.000	2B-06	City of Euless Revenue Sharing Project Tax Reports for the City of Euless Revenue Sharing Project.	FE+2		FE+2	Files are sent to City of Euless after two years. Paper/Confidential. 2B11.		
1.1.000	2B-07	Workload Inventory Tracking Logs Sections' work batching logs that are used to track in/out the daily work flow (daily inventory logs).	AC		AC	AC = Once all assignments for the month have been completed, log is deleted or trashed. Paper/Open. 2B61, 2B65, 2B67, 2B73, 2B74, 2B78.		

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			Agency	Storage	Total	9. Remarks		
1.1.000	2B-08	Cigarette Tax Stamp Sales Files that contain a trail that support sales and issuance of cigarette tax stamps which include completed cigarette tax stamp order forms, reports of stamps sold, of revenue processed and generated through trust sales. Also includes reports of revenue generated through draft sales and cash sales.	FE	5	FE+5		03-304-279	
1.1.000	2B-09	City of Hill Country Village Tax Report Tax Reports for the Hill Country Village Short Term Motor Vehicle Rentals Project.	FE+2		FE+2			Files are sent to Hill Country Village after two years. Paper/Confidential. 2B09.
1.1.008	2B-10	Annual EFT Selection Program Files Annual EFT Selection Program registers; letters from taxpayers requesting exemption from electronic fund transfer or electronic reporting mandatory requirements with our approval letter or our denial letter.	FE+3		FE+3			Paper/Open. 2B12.

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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total				
2.1.000	2B-11	Original Tax Returns/Electronic Data Interchange Original tax returns submitted electronically.	10		10		Electronic/Confidential. 2B12.		
2.1.001	2B-12	SOS Processing Files Machine-readable files used in the creation, utilization, and updating of master files.	AC		AC		AC = Completion of 3rd verification cycle, or audit completion confirming successful transaction processing, or required audit trail maintenance, or the ability to restore or migrate when errors are detected or when hardware or software changes occur. Electronic/Confidential. 2B11.		
2.1.001	2B-13	EFT/ER Maintenance Registers Computer generated registers of electronic funds transfer or electronic reporting maintenance of taxpayers' accounts of EFT/ER statistics.	AC		AC		AC = Until update is completed. Paper, electronic/Open. 2B12.		

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			Agency	Storage	Total	9. Remarks		
2.2.004	2B-14	Computer Generated Registers and Files Schedules or similar records showing computer jobs to be run and other reports by computer operators or programmers of work performed.	3M		3M			
3.1.026	2B-15	Criminal History Checks DPS Criminal Background Checks on applicants for amusement machine tax.	AC		AC			
4.0.000	2B-16	Natural Gas Tax Refund Tracking This record includes collections and refunds. Also includes incoming/outgoing refund request from taxpayers and consultants. The request includes filing periods, refund request amount, reason for requested refund, name of entity, examiner assigned to work the claim, postmark of refund claim, receipt date of claim and the date the refund claim was completed.	FE+3		FE+3			

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			Agency	Storage	Total	9. Remarks		
1.1.000	2S-01	Successor Liability Audits These records pertain to open taxpayer audit liabilities, and the only place the backup information currently resides is in the audit file. These records are stored at the Texas State Records Center.	AC	9	AC+9	AC = After liability is paid. Advanced Processes. Paper/Confidential. As of 4/18/2013, dates of records stored are 1970 through 2007.	90-304-019	
1.1.000	2S-02	Controlled Substance Stamps and Marijuana Stamp Logs Stamps and a log of the sale of Controlled Substance Stamps.	AC		AC	AC = Until changed by Legislation. Inheritance and Miscellaneous Taxes. Paper/Confidential.		
1.1.000	2S-03	Successor Liability Audits-Pending These records pertain to open taxpayer audit liabilities, and the only place the backup information currently resides is in the audit file.	AC		AC	AC = After the liability is paid then the files are routed for storage at the State Records Center under 90-304-019. Advanced Processes. Paper/Confidential.		

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			Agency	Storage	Total	9. Remarks		
2.1.000	2S-07	Computer System Testing-Taxes Documentation of programs and testing results maintained by sections involved in Tax System development and/or testing.	AV		AV	Tax Allocation. Paper and Electronic/Confidential.		
3.1.013	2S-08	Contract Employees Documents Signed confidential forms, time cards from contract employees of operations support.	AC+5		AC+5	AC = After expiration or termination of the contract. Operations support. Paper/Confidential		
4.0.000	2S-09	Certification and Judgment Files Judgments files for all taxes. Contains Certifications, Judgments, Abstracts and Writs.	10		10	Bankruptcy, Certifications and Judgments. Paper/Open.		
4.0.000	2S-10	Sales and Use Tax Adoptions Files Sales Tax adoptions, rate changes, maps reimpositions of utility tax and reimposition of tax.	PM		PM	Tax Allocation. Microfiche, Paper/Open.		

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			Agency	Storage	Total	9. Remarks		
4.0.000	2S-11	Judgment Files for Sales and Mixed Beverage Files contain judgments.	2	PM	PM	Bankruptcy, Certifications and Judgments. Paper/Open. As of 4/18/2013, dates of records stored are 1961 through 2003.	90-304-021	
4.0.000	2S-12	Law Enforcement Officers Standards and Education Law Enforcement Officers Standards and Education Allocation Files.	FE+2	2	FE+4	Tax Allocation. Electronic, Paper/Open. As of 03/19/2007, dates of records stored are 2002 through 2005.	07-304-287	
4.0.000	2S-13	Sales Tax Allocation Microfiche Summaries Sales Tax Allocation Microfiche Summaries of Sales Tax Allocation for City, County, Metropolitan Transit Authority, City Transit Department, County and Special Purpose District Taxes for the Top Thirty Cities Ranked by Quarter and Yearly.	AV		AV	Tax Allocation. Microfiche/Confidential.		

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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
4.0.000	2S-14	International Fuels Tax Agreement (IFTA) New York Fee Transmittal International Fuels tax Agreement Transmittals allocating monies to fifty-nine jurisdictions (fifty states and nine Canadian provinces) received from New York State.	4	4	8	Tax Allocation. Paper/Open. As of 4/18/2013, dates of records stored are 2003 through 2008.	01-304-269	
4.0.000	2S-15	Lien Fees Payment to County Clerk Record of payments submitted to County Clerks for filing state liens.	6M	3	3Y6M	Top 200, Liens, Fees and Insurance Tax. Paper/Open. As of 4/18/2013, dates of records stored are 2008 through 2010.	90-304-017	
4.0.000	2S-16	Adoptions, Annexation, Deannexation Maps and Files Contain local jurisdiction information concerning the adoption, annexation and/or deannexation of an area.	1	20	21	Tax Allocation. Paper/Open. As of 4/18/2013, dates of records stored are 1985 through 2011.	94-304-091	
4.0.000	2S-17	Adoptions, Annexations, and Deannexation Maps and Files Contain local jurisdiction information concerning the adoption, annexation and/or deannexation of an area.	21		21	Microfilm. Tax Allocation. Microfilm/Open.		

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			Agency	Storage	Total				
4.0.000	2S-18	Benefit of Creditor Files These are information files maintained until the liability is paid.	AC+3		AC+3		AC = Until the liability is paid. Bankruptcy, Certifications and Judgments. Paper/Confidential.		
4.0.000	2S-19	International Fuels Tax Agreement Monthly Allocation International Fuels Tax Agreement allocation information files.	4	4	8		Tax Allocation. Electronic, Paper/Open. As of 4/18/2013, dates of records stored are 2003 through 2007.	00-304-268	
4.0.000	2S-20	Open Inheritance Tax Estate Files State and Federal Inheritance Tax files.	AC		AC		AC = Until Paid. Inheritance and Miscellaneous Taxes. Paper/Confidential.		
4.0.000	2S-21	Bankruptcy/Courts/Concluded Accounts Bankruptcy notices received from Bankruptcy courts.	AC+3	4	AC+7		AC = After Bankruptcy Notices are received from Bankruptcy Courts. Paper/Open. As of 4/18/2013, dates of records stored are 2001 through 2008.	90-304-016	
4.0.000	2S-22	Refund Vouchers Backup documentation and screen prints.	1	7	8		Fund and Payment Reconciliations. Paper/Confidential. As of 4/18/2013, dates of records stored are 1995 through 2010.	99-304-250	

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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
4.0.000	2S-23	Estate Claims Files Paper files worked depending on the status of the liability.	AC+3		AC+3	AC = Until the liability is paid. Imaged. Bankruptcy, Certifications and Judgments. Paper/Confidential.		
4.0.000	2S-24	Voucher Log Books Ledger of assigned numbers and dollar amounts ordered from USAS for County Clerk filings.	FE+3		FE+3	Top 200, Liens, Fees and Insurance Tax./Bankruptcy, Certifications and Judgments. Paper/Open.		
4.0.000	2S-25	Credit Interest Statements Credit interest end-of-year statements and associated worksheets.	5		5	Operations Support. Paper/Confidential.		
4.0.000	2S-26	Closed Inheritance Tax Files Original paper documents for closed State and Federal Inheritance Tax Returns.	6M	10Y+6M	11	Inheritance and Miscellaneous Taxes. Paper/Confidential. As of 4/18/2013, dates of records stored are 1990 through 2008.	90-304-006	
4.0.000	2S-27	Attorney General Vouchers Section personnel use the Attorney General vouchers to place the money in suspense.	8		8	Fund and Payment Reconciliations. Paper/Confidential.		

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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
4.1.000	2S-31	Inheritance Tax Closed Estate Files Paper files retained until they are microfilmed then the paper is destroyed and the microfilm is stored at the records center.	PM	PM	PM	Microfilm. Inheritance and Miscellaneous Taxes. Microfilm/Confidential. As of 4/18/2013, dates of records stored are 1940 through 1995.	99-304-256	
4.1.000	2S-32	Closed Pari-mutuel Files Contain reports faxed to the Comptroller by the race tracks.	3M	10Y9M	11	Inheritance and Miscellaneous Taxes. Paper/Open. (Addendum submitted 4/18/2013 to add new 106 approval number.) 2004 through 2012.	08-304-288	
4.1.000	2S-33	Attorney General Payment Report The Comptroller of Public Accounts reports payments received on certified, bankrupt and judgment accounts to the Attorney General's office.	FE+3		FE+3	Bankruptcy, Certifications and Judgments. Electronic, Paper/Open.		
4.1.000	2S-34	Attorney General Debt Report The Comptroller of Public Accounts reports outstanding debt to the Attorney General's office.	FE+3		FE+3	Bankruptcy, Certifications and Judgments. Electronic, Paper/Open.		

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			Agency	Storage	Total	9. Remarks		
4.1.000	2S-35	Inheritance Tax Refund Log Registers that contains a list of Inheritance Tax Refunds.	PM		PM			
4.1.000	2S-36	Inheritance Tax (IVL) Inventory Validation Listing Internal Revenue Service (IRS) Report that lists estates in some form of audit status with their agency.	2M		2M			
4.1.000	2S-37	Attorney General Reports These are registers the AG's Office sends the Comptroller. They include AG Closing Report, Comptroller Non-suit Report, AG Lawsuit Report and AG Judgment Reports.	FE+1		FE+1			
4.1.007	2S-38	Suspense Registers for Protest Deposits of checks/documents that are part of a lawsuit or pending legal action.	FE+1	2	FE+3		91-304-052	

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			Agency	Storage	Total	9. Remarks		
4.1.007	2S-39	Suspense Registers for Non-Protest Deposits of checks and documents for all taxes that are non-protest payments.	FE+3		FE+3	Fund and Payment Reconciliations. Electronic, Paper/Confidential.		
4.3.000	2S-40	Warrant Hold Registers Daily warrant hold registers including House Bill 3211 registers.	FE+1	3	FE+4	Fund and Payment Reconciliations. Electronic/Confidential. As of 4/18/2013, dates of records stored are 2000 through 2011.	99-304-251	
4.3.000	2S-41	Utility Tax Files-Allocation These records are local jurisdiction resolutions.	20		20	Tax Allocation. Electronic, Microfilm/Open.		
4.3.000	2S-42	Mixed Beverage Tax Allocation Files Detailed files for Mixed Beverage.	FE+1	3	FE+4	Tax Allocation. Electronic, Paper/Open. As of 03/19/2007, dates of records stored are 2001 through 2003.	94-304-090	
4.3.000	2S-43	Payback Files-Allocation Correspondence and documents relating to terms of reimbursement from local authority to Comptroller.	AC+3		AC+3	AC = After close. Tax Allocation. Electronic, Paper/Confidential.		

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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
4.3.000	2S-44	Allocation Direct Deposit Authorization Original signatures authorizing direct deposits.	US		US			
4.3.000	2S-45	Re-allocation Worksheets Listing of taxpayer accounts showing periods amended and amount of local sales tax moved from one taxing entity to another.	FE+3		FE+3			
4.3.000	2S-46	Bond Registers An Excel updated listing of taxpayer accounts sent to the bonding company to determine if the bond needs to be cancelled, reinstated, or issued.	AC+4		AC+4			
4.3.000	2S-47	Hotel Tax Allocation Files Detail prints for allocation files.	8		8			

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			Agency	Storage	Total				
4.3.000	2S-48	Controlled Substance Tax Files Files with information pertaining to Controlled Substance Tax.	AC+2		AC+2		AC = After file is closed. Paper/Open.		
4.3.000	2S-49	Fireworks Distribution Annual detailed print of Fireworks tax distributed.	8		8		Tax Allocation. Paper/Confidential.		
4.3.000	2S-50	Allocation Disbursals Houston Hotel Projects, Other Events Fund Disbursals, Local Motor Vehicle Rental Disbursals.	8		8		Tax Allocation. Electronic, Paper/Confidential.		
4.3.000	2S-51	Surplus Lines Files Maintenance Updates Excel spreadsheets received from the Texas Department of Insurance used to validate insurance files on Mainframe.	FE+4		FE+4		Top 200, Liens, Fees and Insurance Tax. Electronic/Confidential.		

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			Agency	Storage	Total	9. Remarks		
4.6.001	2S-52	Fund Balancing and Disbursal Registers Balancing Reports and backup documentation. Includes both USAS and the Tax System reports.	FE+1	3	FE+4		91-304-037	
4.7.000	2S-53	IRS Safeguard Review Records Estate information received from IRS which includes Inheritance Tax information.	6M		6M			
4.7.000	2S-54	Federal Flood Files by County Federal flood allocation files by counties. Yearly master files.	2	8	10		93-304-087	
5.1.000	2S-55	Information Exchange Files Inheritance tax information received from the IRS. These records include documents relating to requests for estate information and from district offices relating to information furnished under the exchange agreement.	AC		AC			

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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
5.1.000	2S-56	Payout Memos Summaries of the payout agreements with cities and counties who have local revenue liabilities. Includes history of payments processed and remaining balance.	AC+4		AC+4	AC = After liability is paid. Inheritance and Miscellaneous Taxes. Electronic, Paper/Confidential.		

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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total				
1.1.000	2F-01	Taxpayer Documents Received Includes taxpayer returns, reports, audits, insurance Tax, and Uncollectible Returned Checks.	0	10	10		Tax Records. Microfilm/Confidential. As of 04/05/2013, dates of records stored are 2003 through 2007.	90-304-012	
1.1.000	2F-02	Microfilm Control Log Book A listing of microfilm rolls created including the document locator number ranges.	10		10		Documents filmed in agency. Tax Records. Microfilm/Confidential		
1.1.000	2F-03	Microfilm Retake Control Log Book A listing of all document locator numbers that were refilmed showing the current locator number and the locator number entered in error.	10		10		Retake logs for refilmed images. Tax Records. Microfilm/Open. Paper/Electronic.		
1.1.000	2F-04	System Retakes Listing of documents to be pulled from retention files for refilming/reimaging.	AC+10		AC+10		AC = After review. Tax Records. Microfilm/Open.		

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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
2.1.001	2F-08	Automated Missing DLN Register Listing used to find created document locator numbers that have not been uploaded to the mainframe.	AC		AC	AC = Completion of registers plus 90 days. Paper and Image. Tax Records/Open.		
3.1.000	2F-09	Seasonal Staff Information Time cards from seasonal staff and a spreadsheet.	FE+1		FE+1	Bill rate for Evins Temporary Agency. Includes Time cards. Operations Support. Paper/Confidential.		
4.1.000	2F-10	Money and Data Sampling Reports A report with taxpayer information used to measure the amount of time it takes for processing of data and regular money from sales tax (long form), franchise tax and miscellaneous tax.	FE+3		FE+3	Incoming Mail. Electronic/Confidential.		
4.2.000	2F-11	Deposit Correction/Adjustment Correction/adjustment of the grand total deposit due to an error on the deposit register.	3M		3M	Remittance Entry/Cashier's Office. Paper/Confidential.		

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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
4.2.001	2F-12	Cashier Approval Deposit Slip Cash deposit slips.	FE+3		FE+3	Cashiers. Electronic/Confidential.		
4.2.003	2F-13	Cash Monthly Audit Audit of the cash that flows through the Cashier's Office.	FE+3		FE+3	Remittance Entry/Cashier's Office. Paper/Confidential.		
4.2.003	2F-14	Cashier's/Money Batch Room Lock/Unlock Log A section log used for employees to initial and verify money that is secured.	FE+3		FE+3	Cashier. Paper/Open.		
4.3.002	2F-15	Batch Deposit Register Verification of the deposit approval against the batch register grand total match.	FE+3		FE+3	Cashiers. Electronic/Confidential. Image as 990's effective FY04		
4.5.000	2F-16	Check Tracking Printouts A daily printout of checks that are routed to other divisions.	3M		3M	Paper/Confidential.		

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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total				
1.1.000	2L-01	Safe Deposit Box Contents Significant Papers Original signed wills, original military discharge papers and original appraisal sheets.	AC	20	AC+20	A	AC = Box inventoried and logged on database. Paper/Open. As of 03/19/2007, dates of records stored are 1988 through 2003.	97-304-136	
1.1.000	2L-02	Safe Deposit Box Contents Miscellaneous Includes deeds, passports, insurance policies, and marriage licenses.	AC	5	AC+5		AC = Box inventoried and logged on database. Paper/Open. As of 03/19/2007, dates of records stored are 2000 through 2006.	97-304-135	
1.1.000	2L-03	Stock Explanation Requests Calculations of remitted securities and funds pertaining to stock.	FE+1		FE+1		Paper and Electronic/Open.		
1.1.000	2L-04	Sales Tax Registers On-line auctions of Safe Deposit Box contents.	FE+4		FE+4		Electronic/Open.		

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			Agency	Storage	Total	9. Remarks		
1.1.000	2L-05	Unclaimed Property Diskettes and CD ROMs These are Diskettes and CD ROMs received from holders.	AC		AC			
1.1.000	2L-06	Unclaimed Property Valuables Tracking Log A log used to track stocks state dated checks and bonds.	1		1			
1.1.000	2L-07	Reconciliation Tracking Log A log used to track valuables transferred from the LBJ Bldg. to the Treasury Safekeeping area.	1		1			
1.1.000	2L-08	Waiver, Allocation and Refund Requests Includes telephone and electric cooperative waiver requests and capital credit refund requests and the dispositions of those requests.	FE+2		FE+2			

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			Agency	Storage	Total	9. Remarks		
1.1.000	2L-09	Penalty & Interest Waiver Requests Includes holder requests to waive penalty and interest fees and the dispositions of those requests.	FE+3		FE+3			
2.1.002	2L-10	Unclaimed Property Database Computer files containing Unclaimed Property electronic records.	PM		PM			
3.4.005	2L-11	Overtime Schedules Division overtime reports.	2		2			
4.2.000	2L-12	Bond Files Lost instrument bonds purchased by claimants.	5		5			
4.2.000	2L-13	Securities Deposit Record Deposit slips for valuables going to securities management vault.	FE+3		FE+3			

Retention Codes (Field 7)	Archival Codes (Field 8)
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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
4.2.001	2L-14	Cash Deposit Voucher Cash deposit slips. Includes receipts for both cash found in safe deposit boxes and cash for the purchase of auction catalogs.	FE+3		FE+3			
4.3.000	2L-15	Daily Certified Securities Tracking Log Listing of all original instruments distributed to claims examiners. Includes stock certificates, bonds, checks, etc.	1		1			
4.3.002	2L-16	Daily Deposit Registers Registers of daily Unclaimed Property deposits for reconciliation with additions to the Unclaimed Property Database.	FE+3		FE+3			
4.5.006	2L-17	Division Operating Budget Required by the General Appropriations Act.	FE+3		FE+3			
4.7.000	2L-18	Claim Files Denied and Paid Claim forms and ownership documentation.	3M		3M			

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			Agency	Storage	Total	9. Remarks		
4.7.000	2L-19	Holder Remittance Reports Reports of Unclaimed Property sent to the Comptroller's Office from holders.	PM	PM	PM	Original Microfilm is kept at the State Records Center. As of 03/19/2007, dates of records stored are 1920 through 1998. AC = After processed. Paper/Open. Paper/Open. Paper/Open. Paper and Electronic/Open.	97-304-174	
4.7.000	2L-20	Pending Claims Received claims not yet approved or denied. Awaiting additional information from claimant.	AC		AC			
4.7.000	2L-21	Safe Deposit Box Holder Reports Includes holders original inventory sheets.	PM		PM			
4.7.000	2L-22	Release Authorizations Withdrawal slips for valuables in securities management vault.	FE+3		FE+3			
4.7.000	2L-23	Holder Reports Holder remittance reports for research area which includes bonds, traveler's checks, cashier checks, gift certificates, and money orders reported by each holder. Paper/Open.	PM		PM			

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			Agency	Storage	Total	9. Remarks		
2.1.007	3N-01	Banking and Electronic Processing Electronic Data PeopleSoft financials and Metavante/Image Vision on Network.	AC		AC	AC = After transaction closed. PeopleSoft and Metavante.		
4.1.000	3N-02	Chargeback's Collection letter sent to the BOFD due to forgeries, breach of warranty, death of payee & altered warrants.	FE	3	FE+3	Paper and Electronic - New Chargeback System created in Access on 04/08/2011. All chargeback correspondence boxed and sent to the Library every FE.	97-304-120	
4.1.000	3N-03	Paid State Warrants/Checks Images of paid state warrants and processed checks.	1	9	10	Electronic/CD - CD's no longer created as of 11/20/2006. Current original CD's kept at State Library are from 09/02/2002 thru 11/20/2006. As of 01/02/2004, CD copies no longer kept at agency. Images now kept online for 10 years.	97-304-175	
4.1.000	3N-04	Paid State Warrants Original paid warrants for Counters, Expedites and Fed RCPC warrants.	AC+1		AC+1	AC = After warrant is paid. Stored at Agency as of 09/04/2007. Shred monthly after storage retention period is reached.		

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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
4.1.000	3N-05	Warrant Request Summaries Correspondence kept of requests for warrant copies received from state agencies, payees and legal sources. Correspondence is received either by email, mail or phone calls.	FE	3	FE+3	Paper - Warrant Copies.	97-304-140	
4.1.000	3N-06	PeopleSoft - Warrant Processing PeopleSoft live on 04/02/2012. Uploads, updates and daily processing for warrant presentments. Maintain all balancing reports & worksheets.	6M	2Y6M	3	Paper/Electronic. Records kept at agency as PDF's beginning 04/01/2013. Purged monthly after storage retention period is reached.	97-304-127	
4.1.000	3N-07	Bank - Daily Correction Forms Details of daily worksheets for bank presentment totals & adjustments.	6M	2Y6M	3	Paper/Electronic. Records kept at agency as PDF's beginning 04/01/2013. Purged monthly after storage retention period is reached.	97-304-115	
4.1.000	3N-08	Cash Letters Daily cash letters for Counters and RCPC's, from Fed along with expedite tapes.	6M	2Y6M	3	Paper - Kept at agency as of 09/04/2012. Shred monthly after storage retention period is reached.	97-304-113	

Retention Codes (Field 7)	Archival Codes (Field 8)
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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
4.1.000	3N-09	Automated Clearing House/Electronic Data Interchange Detail Detail documentation of ACH/EDI files.	FE+1	2	FE+3	Paper.	98-304-229	
4.1.000	3N-10	Outstanding Warrant Detail List List of outstanding State Warrants. Status on fiche are I, IS & IPR. Used as a cross reference with paid history.	10		10	Microfiche - Kept at agency until retention period.		
4.1.000	3N-11	Check Processing Documents Internal documents related to processed checks	3M	2Y9M	3	Paper.	99-304-248	
4.1.000	3N-12a	Paid Warrant History Warrant status history on microfilm and microfiche.	0	PM	PM	Warrant status history kept on microfilm from 07/1897 thru 08/1979. Warrant status history kept on microfiche from 09/1973 thru current. All original records kept at State Records Center permanently. Cancellation records from 09/1995 thru 08/1998 kept on the network as PDF's.	97-304-178	

Retention Codes (Field 7) AC - After Closed, Terminated, Completed, Expired, Settled CE - Calendar Year End LA - Life of Asset PM - Permanent AV - Administrative Value FE - Fiscal Year End M - Months US - Until Superseded	Archival Codes (Field 8) A - Transfer to State Archives R - Review by State Archives
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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
4.1.000	3N-12b	Paid Warrant History Warrant status history on microfiche.	10		10			
4.1.000	3N-13	Daily Deposit Records Daily deposit report and related documentation.	FE+1	2	FE+3		99-304-255	
4.1.000	3N-14	Fund Allocation Network Files NOTE: This part of the EFT checklist (98-304-228) Excel Spreadsheet documentation used for daily monitoring of financial transactions.	FE+3		FE+3			
4.1.000	3N-15	Texas Workforce Commission (TWC) Balance & Float Worksheet Excel Spreadsheets used to calculate balances and float for TWC deposits.	2M		2M			
4.1.000	3N-16	Return Item Information/Worksheets PeopleSoft report documentation for return item transactions.	FE	3	FE+3		01-304-275	

Retention Codes (Field 7)	Archival Codes (Field 8)
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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
4.1.000	3N-17	EFT Daily Checklist/Fan Detail/documentation of manually keyed financial transactions.	FE	3	FE+3	Paper/Electronic - Daily process printed once all transactions have been keyed into the fan file in Excel. Documentation kept at agency.	98-304-228	
4.1.000	3N-18	Auto Wholesale Reports Reports and F-docs from all auto/wholesale lockbox accounts. Bank deposit/credit card data for UT lockbox process.	FE+1	2	FE+3	Paper and Electronic - Kept at agency.	98-304-231	
4.1.000	3N-19	Bank Adjustment Documentation Documentation of various research items related to check processing .	FE+3		FE+3	Paper.		
4.1.000	3N-20a	Paid State Warrants/Checks Images of paid state warrants and processed checks.	0	10	10	Electronic/DVD - DVD's no longer created as of 01/25/2013. Original DVD's kept at Library for 10 years. As of 01/02/2004, images kept online (TOSS) and in Image Vision for 10 years. Current DVD's at Library are 11/21/2006 thru 08/31/2012.	00-304-259	

Retention Codes (Field 7)	Archival Codes (Field 8)
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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
4.1.000	3N-20b	Paid State Warrants/Checks - Agency Images of processed checks and warrants.	10		10			
4.1.000	3N-21	Sources of Receipt Detail of payment for warrant(s) processed by CPA sent to requesting bank.	1		1			
4.1.000	3N-22	Retail F-Docs and Recaps Reports and F-docs from all retail lockbox accounts.	FE+1	2	FE+3		98-304-232	
4.1.000	3N-23	Retail Lockbox Film Microfilm of retail lockbox transactions.	FE+1	8	FE+9			

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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
4.1.000	3N-24a	Warrant Issue Registers Warrant issue information on microfilm includes: warrant number, amount, payee name, agency number and fund number.	0	PM	PM		97-304-112	
4.1.000	3N-24b	Warrant Issue Registers - Agency Warrant issue information on microfilm includes: warrant number, amount, payee name, agency number and fund number.	10		10	R		
4.1.000	3N-25a	Warrant Issue Registers Warrant issue information on microfiche includes: warrant number, amount, payee name, agency number and fund number.	0	PM	PM		97-304-179	

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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
4.1.000	3N-25b	Warrant Issue Registers - Agency Warrant issue information on microfiche includes: warrant number, amount, payee name, agency number and fund number.	10		10	R		
4.1.000	3N-26	Counterfeit & Altered Warrants Check21 - counterfeit and altered warrants transmitted electronically to Frost Bank.	10		10			
4.2.000	3N-27	UT Longhorn Foundation Bank deposit/credit card data for UT lockbox process.	FE+3		FE+3			
4.2.003	3N-28	Daily Cash Receipt Log Log of lockbox cash received in the mail.	FE+3		FE+3			

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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
4.5.000	3N-29	Teller Reports Reports from tellers and automated reports with teller transactions.	FE	3	FE+3	Paper.	99-304-249	
4.7.000	3N-30	Status Changes Requests from State agencies to change warrant status to stop or lift.	FE	3	FE+3	Paper.	97-304-121	
5.1.015	3N-31	Correspondence Tracking Records Correspondence from State agencies .	1		1	Paper. Lock Box correspondence.		

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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
1.1.000	3M-01	Security Deposit Withdrawal Forms State agency's completed deposit and withdrawal forms for safe kept securities.	FE+3		FE+3			
1.1.000	3M-02	Payor Information Form Completed Texnet enrollment and change forms.	AC+1		AC+1	AC = After files become inactive.		
3.3.030	3M-03	Public Funds Investment Act Training Lists Annual list of Districts that received investment responsibility training as mandated by Section 49.1571, Texas Water Code.	US+2		US+2	Paper/Open.		
4.1.000	3M-04	Daily Worksheets, Backup, Wire Transfers Daily wire transfer worksheets with backup information.	4M	FE+2Y8M	FE+3	As of 03/19/2013, dates of records stored are 2009 through 2012.	97-304-131	

Retention Codes (Field 7)	Archival Codes (Field 8)
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2. Agency Code **304** **3. Agency Name:** **Texas Office of the Comptroller** **Cash & Securities Management**

4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total				
4.7.000	3M-17	Branch Banks and Merger Information Information from bank mergers.	FE+1	2	FE+3		Records at State Records Center, however will no longer be storing records at the State Library. As of 03/19/2007, dates of records stored are 2002 through 2004.	97-304-185	
4.7.012	3M-18	Outgoing Wire Authorizations Outgoing wire transfer requests containing wire transfer instructions	US+FE+3		US+FE+3				
5.4.012	3M-20	Vault Security Access Records Entry logs for access to the vault and dual control file cabinet.	AC+2		AC+2		AC = Until superseded, date of expiration, or date of termination, whichever is sooner. Paper/Open.		

<p>Retention Codes (Field 7)</p> <p>AC - After Closed, Terminated, Completed, Expired, Settled CE - Calendar Year End LA - Life of Asset PM - Permanent</p> <p>AV - Administrative Value FE - Fiscal Year End M - Months US - Until Superseded</p>	<p>Archival Codes (Field 8)</p> <p>A - Transfer to State Archives</p> <p>R - Review by State Archives</p>
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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
1.1.000	1T-01	College Savings Plans Correspondence e-mails and reports related to the College Savings Plan and the Lone Star 529 plan.	AV		AV			
1.1.000	1T-02	Investment Direction Letters Directions letters and transaction verification for the program's investment managers and custodial trust.	3		3			
1.1.000	1T-03	Texas Tuition Promise Fund Correspondence e-mails and reports related to the Texas Tuition Promise Fund.	AV		AV			
2.1.000	1T-04	Texas Tuition Promise Fund Outsourced to OppenheimerFunds Inc. Includes - Applications and Funds for the program.	AC+5		AC+5	AC = After Graduation		

Retention Codes (Field 7)	Archival Codes (Field 8)
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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
2.1.000	1T-05	College Savings Plans Outsourced to OppenheimerFunds.	AC+5		AC+5	AC = After Graduation		
2.1.000	1T-06	Texas Tomorrow Fund Applications Applications for Texas Tomorrow Fund Contracts from 1996 through 2003.	AC+5		AC+5	AC = After graduation or refund of college money. Includes Intent to Enroll forms. These documents are applications for enrollment of students and need to be kept indefinitely. Image/Confidential.		
4.1.006	1T-07	Executive Quarterly Report Quarterly investment report from the program investment consultants.	FE+3		FE+3	Paper/Open.		
4.1.006	1T-08	Investment Reports Monthly and quarterly Investment reports from fund managers.	FE+3		FE+3	CD ROMs/Open.		
4.1.006	1T-09	Search Reports Is an inventory of respondents who replied to a Request for Proposals.	FE+3		FE+3	Paper/ Open.		

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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
4.1.006	1T-10	Investment Transactions Yearly Investments Reports to the Legislative Board.	FE+3		FE+3	Paper/Open.		
4.2.000	1T-11	Deposit Vouchers Daily payment activity processed by the Treasury Division.	FE+1	2	FE+3	Paper/Open. As of 03/19/2007, dates of records stored are 2002 through 2005.	00-304-261	
4.2.005	1T-12	Purchase Vouchers Invoices received from Universities and contract cancellation requests.	FE	3	FE+3	Refund Vouchers included. Paper/Open. As of 03/19/2007, dates of records stored are 2002 through 2005.	00-304-262	
4.2.006	1T-13	General Journal Vouchers A record of budget entries and transfers of funds between an agency's budgets.	FE+3		FE+3	Paper/Open.		
4.3.002	1T-14	Money Receipt Books Receipts given to walk-in customer for Educational accounts.	FE+3		FE+3	Paper/Open.		

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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
4.5.001	1T-15	Fiscal Report Worksheets This records series consists of the supporting documents of the financial status of the specific entity concerning its operation for the preceding year.	FE+3		FE+3			
4.5.003	1T-16	Annual Financial Report Required by the General Appropriations Act.	AC+1	5	AC+6		00-304-264	
5.1.001	1T-17	Jobs and Education for Texans (JET) Program Contracts Contracts, correspondence, applications, evaluations, grant disbursement authorizations, copies of warrants, quarterly and annual reports related to the scholarships, grants to nonprofit organizations, and equipment grants.	AC+4		AC+4			

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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total				
1.1.058	6D-01	Meeting Agenda & 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	Agency retains permanent record copy. The archival requirement will be met by sending a copy to the Archives and Information Services Division, Texas State Library and Archives Commission.		
1.1.060	6D-02	Meetings, Audio of Open Audio of open meetings of state boards, commissions, committees, and councils.	AC+3M		AC+3M		AC = Official approval of written minutes of the meeting by the governing body of an agency.		
5.1.001	6D-03	Contracts Contracts include general obligation. Documents include specifications, affidavits of publication of calls for bid, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence.	AC+4		AC+4		AC = Termination of the instrument according to its terms.		
5.1.017	6D-04	Contract Log List of Council On Competitive Government contracts.	FE+3		FE+3		Excel Spreadsheet.		

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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival		10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks			
5.3.007	6D-05	Bid Documentation Invitations for bid, (RFP) accepted and rejected bids, bid evaluation forms, etc.	FE+3		FE+3				

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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
1.1.000	6J-01	Centralized Master Bidders List Incoming CMBL applications or renewals for active status. Electronic & Paper.	FE+3		FE+3			
1.1.000	6J-02	Vendor Performance Program Tracks statewide vendor performance.	AC+4		AC+4	AC = Termination of Contract.		
1.1.000	6J-03	Disparity Study The State is preparing to conduct a new Disparity Study to determine the effectiveness of the HUB program. The study will determine the degree of disparity between the number of ready, willing, and able businesses that qualify for HUB certification and the actual utilization of such businesses in State procurement and contracting.	AV		AV			
1.1.000	6J-04	Historically Underutilized Business Applications Incoming HUB applications for Certifications and/or Recertification.	FE+3		FE+3			

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			Agency	Storage	Total	9. Remarks		
1.1.000	6J-05	Historically Underutilized Business Program Reports TAC, Title 34, Part 1, Chapter 20.	FE+3		FE+3			
2.1.000	6J-06	Office of Vehicle Management Database A database of state owned/leased vehicles for state agencies and institutions of higher education. Electronic.	FE+3		FE+3			
2.2.013	6J-07	Quality Assurance Records (QAR's) QAR's are filed with Open Market Files and Term Contracts.	AC+4		AC+4	AC = No longer needed as an audit trail for any records modified. Procurement Customer Service Program.		
3.1.000	6J-08	Statewide Forum Files Statewide HUB Program Economic Opportunity Forum Files that include correspondence with event coordinator, event advertisements, event agendas and other documents.	FE+3		FE+3			

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1. SLR 105
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2. Agency Code **304** **3. Agency Name:** **Texas Office of the Comptroller** **Texas Procurement and Support Services**

4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total				
3.1.027	6J-09	Training and Certification Statewide Contract Management for certification. Certified Purchasers.	AC+5		AC+5		AC = Expiration of Certificate.		
4.1.008	6J-10	Electronic Fund Transfers Postage	FE+3		FE+3		Mail Operations TPASS.		
4.3.000	6J-11	Firm Delivery Receipts Receipts from the United States Post Office. Special Services mail includes: Certified, Registered, Insured, Delivery Confirmation and Express mail delivered to state agencies.	FE+3		FE+3				
4.5.007	6J-12	Daily Warrant Transmittal USAS Operations Reports Reports send to other agencies - Express/Certified.	AC		AC		AC = Receipt and reconciliation of monthly report.		

<p>Retention Codes (Field 7)</p> <p>AC - After Closed, Terminated, Completed, Expired, Settled CE - Calendar Year End LA - Life of Asset PM - Permanent</p> <p>AV - Administrative Value FE - Fiscal Year End M - Months US - Until Superseded</p>	<p>Archival Codes (Field 8)</p> <p>A - Transfer to State Archives</p> <p>R - Review by State Archives</p>
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RECORDS RETENTION SCHEDULE

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			Agency	Storage	Total			
4.7.012	6J-13	State Agency Acceptance Signatures Reports signed by state agency representative certifying that reports were delivered and received.	US+FE+ 3		US+FE +3			
5.1.000	6J-14	Electronic State Business Daily and Invitation For Bids Electronic State Business Daily and Invitation For Bid (ESBD) - Invitation for Bid is kept 14 - 21 days. After 21 days it becomes part of the Open Market File.	AC		AC	AC = 14-21 Days. After review, it becomes part of the Open Market File. These records are web application portals.		
5.1.000	6J-15	Telephone Log Listing of customers and vendors that contact the agency.	US		US	Texas Procurement and Support Services		
5.1.001	6J-16	Term Contracts Contracts, leases and agreements include term contracts for all state agencies and coop's. (Includes contingency emergency contracts.)	AC+4		AC+4	AC = Expiration or termination of the instrument. TPASS - Paper documents.		

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4. Records Series Item No.	5. Agency Item No.	6. Records Series Title	7. Retention Period			8. Archival	10. 106 No.	TSLAC ONLY Amend No.
			Agency	Storage	Total	9. Remarks		
5.1.001	6J-17	TXMAS Multiple Award Schedules Texas Multiple Award Schedules. To become a TXMAS vendor, a company must have a GSA, other Federal, or even a State contract.	AC+4		AC+4	AC = Expiration or termination of the contract according to its terms.		
5.1.001	6J-18	State Travel Payment Card and Fleet Programs Statewide travel contract, leases and agreements for airline, hotel, rental car, travel agency and payment card services files.	AC +4		AC +4	AC = Expiration or termination of the instrument according to its terms.		
5.1.001	6J-19	Open Market Contracts Contracts, leases, agreements, solicitation instruments, bidder responses, bid tabulations for awarded contracts, to include open market contracts for all state agencies and Coops.	AC+4		AC+4	AC = After contract is terminated.		

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			Agency	Storage	Total				
5.3.000	6J-24	Texas Council on Purchasing from People with Disabilities Records	AV		AV				
5.3.000	6J-25	Texas Cooperative Purchasing Program Original applications and/or resolutions for co-op members and name change forms for existing members.	AC+3		AC+3		AC = After application is processed.		
5.6.000	6J-26	Office Vehicle Fleet Management User Request Incoming requests for changes submitted either via voice mail, e-mail or fax.	AC		AC		AC = After update is completed.		
5.6.000	6J-27	Statewide Mail Vehicle Logs Daily log for vehicles.	FE+3		FE+3				

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