



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

Retention Codes (field 7)

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

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US – Until Superseded

Archival Codes (Field 10)

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

1. Agency Code: 304		2. Agency Name: Comptroller of Public Accounts									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
304-08	1.1.013	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 employee	CE	1				R	NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Paper and/or Electronic	
304-09	1.1.014	Legal Opinion	From agency legal counsel or the Attorney General, including any requests eliciting the opinions.	AV					R	Paper/Electronic	
304-10	1.1.020	Public Information Requests- Not Exempted	Includes all correspondence and documentation relating to request for records that are furnished to the public under the Public Information Act. (Chapter 552, Government Code).	AC	1			AC = Date request fulfilled.		Paper and/or Electronic	
304-11	1.1.021	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 = Date of notification that records are exempt.		Paper and/or Electronic	



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*304-12	1.1.023	Organization Charts	Charts for divisions/sections listing staff members and the chain of command.	US					A	ARCHIVES NOTE: Only charts showing the overall arrangement and administrative structure of the state agency need to be transferred to the Archives and Information Services Division, Texas State Library and Archives Commission. Organizational charts showing division/department level detail are not considered archival. Stored on the "X" drive.	
304-13	1.1.024	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 = Decision made to implement or not to implement result of planning process.	R	Electronic.	
304-14	1.1.027	Proposed Legislation	Drafts of proposed legislation and related correspondence.	AV						Paper and/or Electronic.	



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*304-15	1.1.038	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 = Completion of summary report.		Paper and/or Electronic.	
304-16	1.1.040	Speeches, Papers and Presentations	Notes or text of speeches, papers or reports delivered in conjunction with agency work.	AC	2			AC = End of term in office or termination of service in state position.	R	Paper and Electronic.	
*304-17	3.3.030	Internal Training Administration Records & Materials	Records documenting the planning, development, implementation, administration and evaluation of in-house training programs, including but not limited to training manuals, course registration, class rosters, sign-in sheets, syllabuses, course outlines, and similar training aids used in in-house training programs.	AC	2			AC = Close of training session, after training materials superseded, or termination of training program, as applicable.		Paper and/or Electronic	



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*304-17a	1.1.043	External Training Materials	Instructional materials and other records developed by the agency associated with training the entities or non-personnel individuals it regulates or serves, including but not limited to training manuals, course registration, class rosters, sign-in sheets, syllabuses, course outlines, and similar training aids used in external training programs.	AC	1			AC = Close of training session, after training materials superseded, or termination of training program, as applicable.		Paper and/or Electronic	
304-18	1.1.053	Registration Logs	Logs or similar records used to register persons appearing before state agencies as required by Chapter 2004, Government Code, including quarterly reports filed with the Texas Ethics Commission.	AC				AC = Report filed with the Texas Ethics Commission.		Paper	



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304-19	1.1.057	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 the agency or in the preparation of an on-going record series.	AC				AC = Purpose of record has been fulfilled.		Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voicemail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda or transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation of specific agency transaction. Paper / Electronic.	



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304-20	1.1.058	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					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.	
*304-21	1.1.059	Certified Agendas or Audiovisual Recordings of Closed Meetings	Certified agendas or audiovisual recordings of closed meetings of state boards, commissions, committees, and councils.	AC	2			AC = The date of the meeting or completion of pending action involving the meeting, whichever is later.			Gov. Code 551.104(a).
*304-22	1.1.060	Audiovisual Recordings of Open Meetings	Audiovisual recordings of open meetings of state boards, commissions, committees, and councils.	AC			90	AC = Official approval of written minutes of the meeting by the governing body.			
304-23	1.1.061	Meeting - Notes	Notes taken during open meetings of state boards, commissions, committees, and councils from which written minutes are prepared.	AC			90	AC = Approval of the formal minutes by the governing body.			



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304-24	1.1.062	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,		2				A		
304-25	1.1.063	Staff Meetings Minutes and Notes	Minutes or notes, and supporting documentation, taken at internal agency staff meetings.		1					Paper and/or Electronic.	
304-26	1.1.064	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	FE	3					Electronic	
304-27	1.1.065	Reports and Studies (Non-Fiscal) Raw Data	Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV						Paper and/or Electronic	



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304-28	1.1.067	Reports and Studies Non-Fiscal	Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects complied by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.		3				R	Paper/Electronic	
304-29	1.1.068	Reports on Performance Measures	Quarterly and annual reports on agency performance measures submitted to executive and legislative offices.	AC	6			AC = September 1 of odd-numbered calendar years.			
304-30	1.1.069	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					Electronic	



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304-31	1.1.070	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 t	AC	3			AC = Completion or termination of program, rules, policies or procedures.	R	Paper and/or Electronic/Open	
304-32	1.1.070	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 registered	AC	3			AC = Completion or termination of program, rules, policies or procedures.		Paper and/or Electronic	
304-33	1.2.012	Records Inventory Worksheets	An itemized list of records that contains a description of active and inactive records.	US						Paper and/or Electronic	
304-34	1.2.013	Record Control Materials	Includes indexes, card files, shelf lists, registers, guides, etc.	AC				AC = When control aid is updated, revised, or no longer needed.		Paper and/or Electronic	



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304-35	1.3.001	Agency State Publications	One copy of each state publication as defined in the introduction of the Texas Administrative Code Rules, except a publication that is subject to a different retention period in the Texas State Records Retention Schedule.	AC	2			AC = Until superseded or obsolete.		“CAUTION: Many state publications must be submitted to the Texas State Publications Depository Program, Texas State Library and Archives Commission, by law (Government Code 441.101-441.106). The Texas State Library and Archives Commission will retain a copy of all state publications submitted to it on a continuing basis, subject to periodic evaluation to determine if the publication merits further retention. For additional information and requirements concerning state publications made available to the public through the Internet, consult the administrative rules of the Texas State Publications Depository Program of the Texas State Library and Archives Commission (13 TAC §§3.1-3.16).” Paper and/or Electronic	



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304-36	1.3.002	Publication Development Files	Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside the agency and outside the agency.	AV					R	Routed to the State Archivist for review. Paper and/or Electronic	
*304-37	2.1.002	Master Files - Databases	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 = Until electronic records are transferred to and made usable in a new system environment, or there are no electronic records being retained to meet an approved retention period established in this schedule that require the use of the system.			



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*304-38	2.1.007	Software Programs	Automated software applications and operating system files including job control language, program listing/source code etc.	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.
304-39	2.1.008	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 = 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.



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304-40	2.1.009	Technical Documentation	Records adequate to specify all technical characteristics necessary for reading or processing of electronic records and their timely, authorized disposition including documentation describing how a system operates and necessary for using the system such as user guides, system or sub-system definitions, system specifications, input and 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 detain 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 = 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 cards 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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304-41	1.2.013	Finding Aids, Indexes, and Tracking Systems	Automated indexes, lists, registers, and other finding aids used to provide access to records.	AC				AC = The related records have been destroyed.			



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304-42	2.2.000	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						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.	



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



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304-50	3.1.023	Position/Job Description	Job descriptions, including all associated task or skill statements, for positions in an agency.	AC	4			AC = Until superseded or job eliminated.		Paper, Electronic	40 TAC 815.106(i).
304-51	3.3.020	Work Schedules/Assignments	Work, duty, shift, crew, or case schedules, rosters, or assignments.		1						
304-52	3.3.024	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					Paper and/or Electronic	
304-53	3.4.006	Employee Time Accounting System.	An entry that shows the accumulation of time per task and project		4					Electronic, Confidential	40 TAC 815.106(i)
304-54	4.2.000	Notary Public Logbook	Logs listing name, address and license number with requestor signature.		10					Paper	



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*304-55	5.1.001a	Memorandum of Understanding (MOU)	Non-monetary MOU signed originals, copies are provided to Open Records to maintain.	AC	7			AC = After Termination of MOU		Electronic / Contracts' Section G Drive and Paper / Physical File. See related RSIN 5.3.007a/b/c for bid documentation. See RSIN 5.1.017 for contract logs.	Government Code, 441.1855
304-56	5.1.000	Voice Mail	Messages left on voice mail on state phones.	AV							



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3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
*304-57	5.1.001a	Contract Files - 9/1/2015 and After	Contains all general correspondence, notices, proposals, mailing lists, tax research, complete RFP Contracts, Leases and agreements including general obligation, land, lease, utilities and construction except for building. This record series may include the master contract administration file per Texas Comptroller of Public Accounts Contract Management Guide.	AC	7			AC = Expiration or termination of instrument according to its term.		Complete contract file, signed contract, purchase order or 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 contract plus those that did not. Original Contracts Under Council On Competitive Government; Innovation & Technology; State Energy Conservation Office; Contract Administration & Procurement; Texas Procurement and Statewide. See related RSIN 5.3.007a/b/c for bid documentation. See RSIN 5.1.017 for contract logs.	Government Code, 441.1855



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					Years	Months	Days				
*304-58	5.1.001a	Contract Management Files - 9/1/2015 and After	Complete contract files includes, but not limited to signed contracts, POs, solicitation docs, tax research, CAT/POD reviews, proposals, correspondence, drafts and notes, evaluation committee, approvals, notices, etc.	AC	7			AC = Completion of contract.		Record Copy Notes. Contracts keeps original SECO & Endangered Species contracts, loans and grants (without PO) Convenience Copy Notes. Contracts keeps copies of all other contracts and proposals, Purchasing maintains originals (with PO). Electronic-Contracts' Section G Drive, CDs and Paper-Physical Files. See related RSIN 5.3.007a/b/c for bid documentation. See RSIN 5.1.017 for contract logs.	Government Code, 441.1855
304-59	5.1.003	Delivery Reports	Delivery reports from retrieved records stored at the Texas State Records Center.		2						



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					Years	Months	Days				
304-60	5.1.004	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						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	
304-61	5.1.005	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					Controlled mail documents including U.S.P.S. from 3877. Priority mail, Fed Ex, and Airborne delivery receipts.	
304-62	5.1.011	Photocopier and Telefax Usage Logs & Reports	Logs on photocopy and faxes received and/or faxed.	AV							
304-63	5.1.011	Fax Activity Reports	Records listing incoming and outgoing fax phone numbers.	AV						Paper.	



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					Years	Months	Days				
304-64	5.1.014	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					Paper and/ or Electronic.	
304-65	5.1.015	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						
304-66	5.2.010	Equipment Manuals	Manuals with operating instructions for equipment.	LA						Paper and/or Electronic	
*304-67	5.2.018	Quality Control Reports	Documentation and reporting on adherence to procedures that ensure quality of a process, product, or service.		2						



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					Years	Months	Days				
304-68	5.3.007	Procurement and Contract Documentation	Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, accepted and rejected bids, and bid tabulation/evaluations. This is applicable to documents executed on or after September 1, 2015.	AC	7			AC = Expiration or termination of the instrument according to its terms or decision not to proceed with the bid. See also item number 5.1.001		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 and/or Electronic	Related to SB20



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					Years	Months	Days				
304-69	5.3.009	Request for Information	Request for information preliminary to the procurement of goods or services (by direct purchase or bid)	AC				AC = Date of purchase, issuance of solicitation, or decision not to proceed with the formal information request process or the procurement, as applicable.		AC = Date of purchase or decision not to proceed with the formal information request process or the procurement, as applicable.	
304-70	5.4.013	Disaster Preparedness and Recovery Plans	Disaster Recovery Plan.	US						Information Security coordinates storage of Disaster Recovery Transmittals RMD 109's. Paper and/or Electronic	
304-71	1.1.026	Open Meeting Notices	Open meetings notices, "Legal Banking Holiday"; or any other documents required by law to be submitted to the Texas Register	AC	1			AC = Date of publication in the Texas Register. Open Meeting Notices, Agency Affairs. Legal Banking Holiday Notices, Contracts.		Electronic, Open	



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					Years	Months	Days				
304-72	1.1.048	Litigation Files	Records created by or on behalf of an agency in anticipation of or in the adjudication of a lawsuit	AC	1			AC = As applicable, decision of an agency not to file a lawsuit or decision that a lawsuit will not be filed against it on a matter; dismissal of a lawsuit for want of prosecution or on motion of the plaintiff; or final decision of a court (or of a court on appeal, if applicable) in a lawsuit.	R	Paper and/or Electronic.	
304-73	2.2.013	CPA Wireless Guest Network	A wireless Guest Network available to vendors, IRS, contractors and visitors that are on-site conducting business with or for the agency. Guest must request access from a CPA employee and agree to the Terms and Condition set forth by the agency	AC	1					AC + 1= After use of network triggers closure followed by a 1 year retention for audit purposes. Paper and/or Electronic.	



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					Years	Months	Days				
*304-74	4.7.008a	Grant Records - Awarded	This series documents state, federal, and other sponsored grant projects participated in or administered by CPA. It includes grant authorization records, which provide evidence of the award of grants to or by CPA; grant/project financial or performance reports, which are periodic reports of financial activity and/or program performance related to grants received or made by CPA.	AC	3			AC = Satisfaction of all Uniform Administrative Requirements for Grants and cooperative Agreements to federal, state and local governments (the common rule).		CAUTION: Retention requirements may vary depending on the specific federal funding agency. Agencies must ensure that records are retained for the appropriate retention period.	
*304-75	4.7.008b	Grant Records - Non-Awarded	Non-awarded, denied, or unfunded grant applications and proposals.	AC	2			AC = Date of notification.			



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					Years	Months	Days				
*304-76	3.1.021	Personnel Disciplinary Action Documentation	Disciplinary actions are those actions which may affect pay, status, or tenure. They are imposed to discipline an employee whose conduct is harmful to the best interests of the state, the agency, or the employee work force; and for failure to improve performance or conduct following imposition of corrective action. May include cause for demotion, suspension, or dismissal, and the reasons for failure to give written notice of resignation. May also be used to document evidence of employee self-improvement efforts, as well as favorable and unfavorable communication.	AC	5			AC = Termination of employment.			



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					Years	Months	Days				
*304-77	5.1.001b	Contract Files - 8/31/2015 and Prior	Contains all general correspondence, notices, proposals, mailing lists, tax research, complete RFP Contracts, Leases and agreements including general obligation, land, lease, utilities and construction except for building. This record series may include the master contract administration file per Texas Comptroller of Public Accounts Contract Management Guide. Applicable to contracts executed on or before August 31, 2015.	AC	4			AC = Expiration or termination of instrument according to its term.		Complete contract file, signed contract, purchase order or 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 contract plus those that did not. Original Contracts Under Council On Competitive Government; Innovation & Technology; State Energy Conservation Office; Contract Administration & Procurement; Texas Procurement and Statewide. See related RSIN 5.3.007a/b/c for bid documentation. See RSIN 5.1.017 for contract logs. NOTE: Refer to SB20 (84th Leg.) for retention period context.	Government Code, 441.1855



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					Years	Months	Days				
*304-78	5.1.001b	Contract Management Files - 8/31/2015 and Prior	Complete contract files includes, but not limited to signed contracts, POs, solicitation docs, tax research, CAT/POD reviews, proposals, correspondence, drafts and notes, evaluation committee, approvals, notices, etc. Applicable to contracts executed on or before August 31, 2015.	AC	4			AC = Completion of contract.		Record Copy Notes. Contracts keeps original SECO & Endangered Species contracts, loans and grants (without PO) Convenience Copy Notes. Contracts keeps copies of all other contracts and proposals, Purchasing maintains originals (with PO). Electronic-Contracts' Section G Drive, CDs and Paper-Physical Files. See related RSIN 5.3.007a/b/c for bid documentation. See RSIN 5.1.017 for contract logs. NOTE: Refer to SB20 (84th Leg.) for retention period context.	Government Code, 441.1855
			Account Maintenance (2B)								
2B-01	1.1.000	Amusement Tax Decals	Information for issuing Amusement Decals which includes order and destruction processes.		1					Paper. Confidential	



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					Years	Months	Days				
*2B-02	1.1.000	Tax Payer Documents Received	Includes tax reports and supporting documents, original and renewal applications (Permits) and manufacturers reports. Also includes documents relating to inspections of cigarette/tobacco permitted retailer locations indicating either a violation or a non-violation of Health and Safety Code, Chapter 161. After documents are imaged the image becomes the agency record, and paper copy are destroyed.	AC				AC = When documents received from taxpayer are imaged, processed and or completed.		Confidential. Paper / Electronic	
2B-03	1.1.000	Cigarette/Tobacco Vending Machine Permit/Decals	Decals that are required to be affixed to the cigarette vending machine.	AC	1			AC = After permit is issued		Paper	
2B-04	1.1.000	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					Electronic	



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					Years	Months	Days				
*2B-05	1.1.000	Tax Reports for Sports and Community Venue Tax	Tax reports for the following local government entities: Bexar County, Cameron County, City of Euless, City of Hill Country Village and McLennan County.	FE	2					Paper	
*2B-07	1.1.000	Workload Inventory Tracking Logs	The systems used for completing the workload inventory tracking logs are AWM, OnBase, Production Reports and V-Track. Reports are run from these systems to determine our current inventory and TAT (turnaround times) completion rates.	AC				AC = Once all assignments for the month have completed, log is deleted or thrashed.		Paper/Open. 2B61, 2b62, 2B67, 2B73, 2B78.	
2B-08	1.1.000	Cigarette Tax Stamps Sales	Files 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					Electronic	



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2B-10	1.1.000	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					Electronic	
2B-11	2.1.000	Original Tax Returns/Electronic Data Interchange	Original tax returns submitted electronically.	FE	3						
2B-12	2.1.007	SOS Processing Files	Machine-readable files used in the creation, utilization, and updating of master files.	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	



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					Years	Months	Days				
2B-13	2.1.007	EFT/ER Maintenance Registers	Computer generated registers of electronic funds transfer or electronic reporting maintenance of taxpayers' accounts of EFT/ER statistics.	AC				AC = Until update is completed.		Electronic	
2B-14	2.2.004	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.			3				Paper	
2B-15	3.1.026	Criminal History Checks	DPS Criminal Background Checks on applicants for Amusement Machine Tax.	AC				AC = The criminal history record has served the immediate purpose for which it was obtained		Electronic	



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					Years	Months	Days				
*2B-16	4.1.000	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						
2B-17	4.1.009	Cigarette Tax General and Subsidiary Ledgers	This record includes deposit vouchers/cigarette tax stamp general ledger registers, manual ledgers prepared for cigarette tax.	FE						Electronic	
2B-18	4.7.000	SB55 Tobacco Compliance Grants.	These are state grants given to Local Law Enforcement agencies and school districts with on-campus police programs to enforce the tobacco laws concerning minors access to Tobacco.	FE	4					Electronic	



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2B-22	4.1.000	Charge backs	Collection letters to the BOFD due to forgeries, breach of warranty, death of payee altered warrants.	FE	3					Electronic. Confidential	
2B-23	5.1.000	Delivery Receipts	U.S.P.S. certified return receipt "green cards" returned from the cigarette tax distributors indicating receipt of the cigarette tax stamps.	AV						AV = In case of dispute, recipient signature can be verified. Kept approximately one year. Paper/Open. 2B78.	
Audit (2I)											
2I-01	1.1.000	Completed Taxpayer Audit - Other	Includes taxpayer audit work papers that are not imaged	AC	10			AC = After completed		Paper/Electronic/ Confidential	
2I-02	1.1.000	Completed Taxpayer Audits - Diskettes	Diskettes related to taxpayer audits	AC	10			AC = After completed		Confidential	
2I-03	1.1.000	Completed Taxpayer Audits- Images	Includes information related to taxpayer audit packages such as billing reports, letters, schedules, statute waivers, and notifications of sampling and estimation	AC	20			AC = After completed.		Medium=Other images. Confidential	
2I-04	1.1.000	Completed Taxpayer Audits - Microfiche	Tax payer audits which were originally on microfiche are being converted to the image system.	AV						Confidential	



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2I-05	1.1.000	Taxpayer Audits - Inventory	Includes taxpayer audits that are in progress, at the RPC, in the administrative hearings process, BART assignments, Audits, Headquarters tasks, & Audit Select	AC				AC = After completed.		Paper/Electronic. Confidential	
2I-06	1.1.000	Computer Audit System Documentation	Documentation for CAS taxpayer audits.	AC	10			AC = After completed.		Confidential (106 No. 97-304-210)	
2I-07	1.1.002	Inheritance Tax Audit	Howard Hughes Inheritance Tax audit stored at the State Library.	AC	65			AC = After completed.		Confidential (97-304-211)	
2I-08	1.1.002	Audits - Internal	Internal audits performed on Audit field offices	AC	7			AC = After audit is closed out.		Field Office, Inspection, Evaluation, Loss Prevention and Development (FIELD) program. Paper/Electronic. Confidential	
2I-09	1.1.038	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 = After Completion of Course		Paper. Open	



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					Years	Months	Days				
2I-10	1.1.069	Reports - Employees, Taxpayer Audit/Work Manager/Administrative	Includes auditor time reports (ATRs) workloads, Auditor Work Manager Reports, Planning Calendars, Flag Letters, Processing Review Forms, Tax Payer Audit/Work Manager inventory system, reports, reports for division management, and certification reports to TABC and other agencies.		1					Paper/Electronic. Confidential	
2I-11	2.1.002	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 = Audit completion confirming successful transaction updates, or required audit trail maintenance. Disposed of when no longer needed to create a report.		Electronic. Confidential	
2I-12	3.2.003	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 = All audit requirements have been met			



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2I-13	3.3.026	Staffing Reports	Includes current level of staffing in each field office	US	3					Paper/Electronic. Open	
2I-14	3.3.027	Test, Practical , Case Studies	Results from test, practical, and case studies of auditors from training classes.	US	2					P29 CFR 1602.31. Paper. Confidential	
2I-15	4.1.009	Daily Cash Receipts Log	Includes bank deposit slips.	FE	3					Paper. Confidential	
2I-16	4.3.002	Check Log Register	Registers or list of monies collected from taxpayer audits	FE	3					Paper/Electronic. Confidential	
2I-17	4.7.000	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 = Per agreement with the Federal Government, the retention period must be report year plus 5 years.		Electronic. Confidential	
2I-18	4.7.000	IRS Safeguard Review Records	Federal Tax Information (FTI) Semi-Annual, In-House Safeguard Review from, Limited Access Security Log required by Field team, and annual FTI recertification training acknowledgements.	AV						Paper/Electronic. Confidential	
2I-19	5.1.000	Batch Sheet	List of Taxpayer Audits sent to processing center	CE	1					Paper/Electronic. Confidential	



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2I-20	5.1.015	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					Paper. Open	
2I-21	5.4.003	Safety Checklist	Fire, safety, and other inspection records of agency facilities and equipment	AC	3			AC = Inspection or date of the correction of the deficiency, if the inspection report reveals a deficiency.		Paper. Open	
Budget & Internal Accounting (1B)											
1B-01	1.1.004	Legislative Appropriations Requests	Including and supporting documentation created and/or used to justify and support legislative appropriations request by an agency.	AC	6			AC = September 1 of odd-numbered calendar years.	A	"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.	



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1B-02	1.1.024	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 = Decision made to implement or not implement result of planning process.	R	Paper and Electronic/Open.	
1B-03	1.1.055	Strategic Plans	Information resources and operational strategic plans prepared in accordance with Sections 2054.095 and 2056.002, Government Code.	AC	6			AC = September 1 of odd-numbered calendar years.	A	"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 / Electronic. Open	
1B-04	1.1.064	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	AC	6			AC = After completed.		Paper and Electronic/Open.	



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1B-05	1.1.068	Reports- Reports on Performance Measures	Quarterly and annual reports on agency performance measures submitted to the executive and legislative offices.	AC	6			AC = September 1 of odd-numbered calendar years.		"Copies to Texas State Publication Depositor Program, TSLAC." LBB Reports. Paper and Electronic/Open.	
1B-06	3.1.000	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					Paper and Electronic/Open.	
1B-07	3.1.011	Employee Insurance Records	Agency copies of information relating to the selection by employees of life, disability, health, and other types of insurance offered by the State of Texas to its employees.	AC	4			AC = Until superseded or termination of employment.		Includes 241/District Courts (Comptroller Judiciary). Medicare Files. Retired Visiting Judges. Paper/Open.	Electronic



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*1B-08	5.1.001a	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	7			AC = Expiration or termination of the bond according to its terms.		Includes 241 / District Courts (Comptroller Judiciary.) Paper / Confidential See related RSIN 5.3.007a/b/c for bid documentation. See RSIN 5.1.017 for contract logs.	Government Code, 441.1855
1B-10	3.2.001	Employee Deduction Authorizations	Documentation used to start, modify, or stop all voluntary or required deductions from payroll, including garnishment or other court-ordered attachments. Includes TexFlex Authorizations, employee deductions and Benefit	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. Electronic	



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1B-11	3.2.002	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	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. As of 03/19/2007, dates of records stored are 2001 through	
1B-12	3.2.002	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/CAPPS relating to each payroll processed. Information pertains to the individual payments and deductions made to each employee during each payroll. Paper / Electronic. Confidential	CE	4					40 TAC 815.6(i). Reports show retirement for state paid employees. Includes 304/Comptroller's Office, 907/State Energy Conservation Office, 241/District Courts (Comptroller Judiciary) and 930/TX Treasury Safekeeping Trust Co. Paper/Confidential. As of	



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1B-13	3.2.002	Statements of Earnings	Employee Earnings Records		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). Electronic	
1B-14	3.2.003	1099 Forms	Form 1099 is a form promulgated by the Internal Revenue Service (IRS) and is used in the United State income tax systems to report various types of income other than wages, salaries, and tips	AC	4			AC = Tax due date, date claim filed, or date tax is paid whichever is later.			
1B-15	3.2.003	Federal Tax Records	Includes FICA records. 941 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/District Courts (Comptroller Judiciary) and 337/Board of Tax Professional Examiners.	AC	4			AC = Tax due date, date claim filed, or date tax is paid whichever is later.		Paper / Electronic. Confidential	



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1B-16	3.2.004	Income Adjustment Authorizations	Used to make increases or decreases to employees' gross pay, FICA, retirement, or in computation of taxes.		2					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	29 CFR 516.6(c).
1B-17	3.2.005	W-4 Forms	Employer's copy of "Employees' Withholding Exemption Certificate". Includes 241,304,907,241,930,315.	AC	5			AC = After termination of compensation.		Records of payments to Texas Workers Compensation Commission, relate to accounting policy statement 003. Includes agencies 304/Comptroller's Office, 907/State Energy Conservation Office, 930/TX Treasury Safekeeping	
1B-18	3.2.007	Unemployment Compensation Records.	Records of payments to Texas Worker Compensation Commission relating to accounting policy 003. Includes agencies 304, 907, 930 and 241	AC	5			AC = Tax due date, date the claim is filed, or date tax is paid, whichever is later.		Paper/Confidential. As of 03/19/2007, dates of records stored are 2001 through 2002.	29 CFR 31.600-1(e)(2).



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1B-19	3.2.008	Direct Deposit Application/Authorizations	Application/Cancellations. These documents are authorization by employees on beginning, changing and ending direct deposit of payroll payments to their personal accounts. Theses records include agencies 304,907,9	US	5					Deferred comp participation by employees in agencies 241/District Courts (Comptroller Judiciary), 304/Comptroller's Office, 930/TX Treasury Safekeeping Trust Co., 337/Board of Tax Professional Examiners, and 907/State Energy Conservation Office. Paper. Open	
1B-20	3.3.026	Agency Staffing Reports	Any reports compiled by an agency on aspects of personnel staffing, including listings of all staff by program or name; staff hired during a month; detailed listings of employees within its organizational structure, position vacancy	US	3					Approved FTE Report, Weekly Vacancy report, Monthly Management Report, Employee Summary Report. Paper/Open.	Electronic



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1B-21	3.4.001	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	3					Create and reconcile employee leave balances, correct leave balance. These forms relate to corrections and adjustments of leave balances for individual employees in the USPS Tim and Leave Accounting System. These forms include agencies 304/Comptroller's	Electronic
1B-22	3.4.002	Employee Leave Summary	Leave Status Reports	FE	4					13 months accessible on the web and three months stored electronically and is accessible by request. Xml format.	Electronic
1B-23	3.4.004	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					Leave reports authorizing payment of OT on Money Reports. These reports are confirmed by timekeeping and passed to payroll as authorization for overtime payment. Paper/Open.	Electronic



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1B-24	3.4.007	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						Electronic
1B-25	4.1.001	Billing Detail	Itemized billing records for services rendered.	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.	Electronic
1B-26	4.1.001	Accounts Payable Purchase Vouchers	Requisitions, purchase orders, receiving reports, invoices, or statements, change orders, best values determinations, etc. Related to agency vendor payments.	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.	



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1B-27	4.1.001	General Journal Vouchers	A record of budget entries and transfers of funds between an agency's budgets.	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.	Electronic
1B-28	4.1.001	Expenditure Vouchers/Expenditure-Registers-Warrants	Reimbursement vouchers, claims and back-up papers to all Judiciary customers, counties, witnesses and elected officials.	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	



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1B-29	4.1.001	Expenditure Vouchers	Travel, payroll, etc.	FE	3					ITV's, Exp., transfers USAS documents 902/Comptroller of Public Accounts-Fiscal Programs payment of pensions. Ranger Pension Files, 907/State Energy Conservation Office, 304/Comptroller's Office, 902/Comptroller of Public Accounts-Fiscal Programs/ Advance	
1B-30	4.1.001	Accounts Payable Travel Vouchers	Employee and vendor travel reimbursement vouchers and working papers.	FE	3					Includes agencies 304/Comptroller's Office, 315/TX Tomorrow Fund, and 907/State Energy Conservation Office. Paper/Open.	



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1B-31	4.1.001	Expenditure Journals or Registers	Listing of journals produced and payments produced by USAS and USPS.	FE	3					Warrant Registers for agencies 241/ District Courts (Comptroller Judiciary), 902/Comptroller of Public Accounts- Fiscal Programs, 907/State Energy Conservation Office, 304/Comptroller's Office, and 337/Board of Tax Professional Examiners, USAS/USPS Reports. Electronic. Open	
1B-32	4.5.002	Internal Fiscal Management Reports	Includes agency monthly budget reports.	FE	5					Forecasts, worksheets and support. MIS reports. Activity Based Costing (ABC), Contract Workforce Report (CWR), Mid-Year/Annual Reviews. Paper and Electronic/Open.	
1B-33	4.5.003	Annual Financial Reports	Required by the General Appropriations Act (100 Day Report).	AC	6			AC = September 1 of odd-numbered calendar years.		"Copies to Texas State Publication Depositor Program, TSLAC." Paper and Electronic/ Open.	



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1B-34	4.5.002	External Fiscal reports	Special purpose- i.e. federal financial reports, salary reports, etc. includes HUB reports.	FE	5					Grant Reporting to Governor's Office and Federal Government. 90,241/District Courts (Comptroller Judiciary.) Paper / Electronic. Open	
1B-35	4.9.001	Annual Operating Budgets	Required by the General Appropriations Act.	FE	6					Legislative Budget Board (LBB) Operating Budget. Paper/Electronic	
1B-36	4.1.001	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	3					Paper/Open.	
1B-38	4.7.005	Claim Files	Indigent inmate claims. Only agency 241/District Courts (Comptroller Judiciary.)	AC	3			AC = Resolution of claim.		Paper/Open.	
1B-39	4.9.001	Detail Chart of Accounts	One for all accounts in use for a fiscal year.	FE	3					USAS/ISAS. Electronic/Open.	



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1Q-01	1.1.040	Speeches	Texts and/or notes of speeches, presentations, papers and/or reports represented publicly by the Comptroller and/or agency staff in conjunction with their official duties; includes talking points, a working list of economic, demographic and fiscal data compiled by agency staff and updated weekly by the Editorial Team.	AC	2			AC =End of term in office, or termination of service in a state position.	A	Electronic	
1Q-02	1.1.019	News Conferences	Video and/or audio recordings of news conferences conducted by the Comptroller and/or agency staff.		2				R	Electronic	
1Q-03	1.1.019	Public Relations Records	Information and official comment distributed to the press and general public (i.e., news releases), as well as any other public relations materials widely distributed, issued and/or maintained by the Comptroller's office.		2				R	Electronic	



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					Years	Months	Days				
*1U-01	5.1.001a	Contract Administration File - 9/1/2015 and After	Files consists of but not limited to hard copy and electronics repository files and form such as the Quarterly Status Report and other contract status reports, Contract Management and Monitoring Plans (CMMP), Streamlined Contract Monitoring Schedules (SCMS), completed site visit checklists, if applicable, quarterly inspection reports, meeting notes with vendor, change request forms, invoice payment/reconciliation logs, insurance certificates, quality assurance and/or attestation reports, meeting summaries, correspondence, corrective action plans, contract manager transition plans, lessons learned, vendor protest, and closeout checklists. Executed, renewed, or amended on or after September 1, 2015.	AC	7			AC = Expiration or termination of the contract according to its terms		Electronic. Confidential See related RSIN 5.3.007a/b/c for bid documentation. See RSIN 5.1.017 for contract logs.	Government Code, 441.1855



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*1U-01A	5.1.001b	Contract Administration File - 8/31/2015 and Prior	Files consists of but not limited to hard copy and electronics repository files and form such as the Quarterly Status Report and other contract status reports, Contract Management and Monitoring Plans (CMMP), Streamlined Contract Monitoring Schedules (SCMS), completed site visit checklists, if applicable, quarterly inspection reports, meeting notes with vendor, change request forms, invoice payment/reconciliation logs, insurance certificates, quality assurance and/or attestation reports, meeting summaries, correspondence, corrective action plans, contract manager transition plans, lessons learned, vendor protest, and closeout checklists. Executed, renewed, or amended on or before August 31, 2015.	AC	4			AC = Expiration or termination of the contract according to its terms		Electronic. Confidential See related RSIN 5.3.007a/b/c for bid documentation. See RSIN 5.1.017 for contract logs. NOTE: Refer to SB20 (84th Leg.) for retention period context.	Government Code, 441.1855



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*1U-02	5.1.001a	Contracts and Leases - 9/1/2015 and After	Contracts, leases and agreements include general obligations, land lease, utilities and construction except for buildings. Documents include specifications, affidavits of publications of calls for bides, accepted bids, orders, inspection reports and correspondence. Executed, renewed, or amended on or after September 1, 2015.	AC	7			AC = Expiration or Termination of the contract according to its terms		See related RSIN 5.3.007a/b/c for bid documentation. See RSIN 5.1.017 for contract logs.	Government Code, 441.1855



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1U-03	5.2.008	Procurement Files Executed, renewed, or amended on or after 09/01/2015	File Types include bid requisition/approvals for invitation to Bids (IFB); Request for Offers (RFO); Price Request(PR); Request for Proposals(RFP); Request for Quotes or Information(RFQ) (RFI) and Statement of Works (SOW) bid specifications and vendor responses accepted and/or rejected and bid tabulations/evaluations. Files should include but are not limited to final specifications; Contract Amendment Request Documents (CARD) or procurement Request Information Templates(PRIT) and approval histories along with supporting documentation (if applicable), requisitions, addendums, clarification questions and responses (if applicable), Vendor responses, Best and Final Offer (BAFO), if applicable, Master Operating Lease Agreement (MOLA), if applicable, vendor quote, CAT review and delegation and/or recommendations, Electronic State Business (ESBD) Posting and Award Notices (if applicable), Historically Underutilized Business (HUB) Program, HUB subcontracting plans (HSP) and related documentation (if available), amendments to the contract, purchase order change notices (POCN) and miscellaneous emails (if applicable).	AC	7			AC = Expiration or Termination of the contract according to its terms		Paper. Electronic. Confidential	



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1U-03A	5.2.008	Procurement Files Executed, renewed or amended on or before 08/31/2015	File Types include bid requisition/approvals for invitation to Bids (IFB); Request for Offers (RFO); Price Request(PR); Request for Proposals(RFP); Request for Quotes or Information(RFQ) (RFI) and Statement of Works (SOW) bid specifications and vendor responses accepted and/or rejected and bid tabulations/evaluations. Files should include but are not limited to final specifications; Contract Amendment Request Documents (CARD) or procurement Request Information Templates(PRIT) and approval histories along with supporting documentation (if applicable), requisitions, addendums, clarification questions and responses (if applicable), Vendor responses, Best and Final Offer (BAFO), if applicable, Master Operating Lease Agreement (MOLA), if applicable, vendor quote, CAT review and delegation and/or recommendations, Electronic State Business (ESBD) Posting and Award Notices (if applicable), Historically Underutilized Business (HUB) Program, HUB subcontracting plans (HSP) and related documentation (if available), amendments to the contract, purchase order change notices (POCN) and miscellaneous emails (if applicable).	AC	4			AC = Expiration or Termination of the contract according to its terms		Paper. Electronic. Confidential	Government Code, 441.1855



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			Data Analysis & Transparency								
1N-01	1.1.000	Economic Development Corporation Reports	Reports as required by Vernon's Ann. Civ. St. Art. 5190 6 4c.		3					Database	
1N-02	1.1.000	Fiscal Notes Estimates	Fiscal Notes on local governments on legislative bills responding to requests from LBB staff.		3					Electronic	
1N-03	1.1.000	Sheriffs and Constable's Fee Reports	Reports as required under local government Section 118.131.		3					Paper/Electronic	
*1N-04	1.1.000	Units of Local Government Budget Reports	All reports received from units of local government not required by law or requested by the Comptroller's Office.			1				Paper	
*1N-05	1.1.000	Chapter 313 - Inactive Applications/Agreements & Reports	Applications, agreements and reports for projects that have expired, been withdrawn or otherwise terminated	AC	2			AC = After applications, agreements and reports for projects have expired, been withdrawn or otherwise terminated.		Paper/Electronic	



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*1N-06	1.1.000	Chapter 313 - Active Applications/Agreements	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 (for agreements executed prior to Jan 1, 2014) on the appraised value of a property for the maintenance and operations portion of the school district property tax. Agreements executed after Jan. 1, 2014, receive no tax credits but instead get a ten-year limitation on the appraised value for the maintenance and operations portion of the school district property tax	AC	2			AC = Documents must be retained through the second year following the last year of any year during which the agreement holder is required to maintain a viable presence. 15 years following the start of the limitation for 3-digit projects. 17 years following the start of the limitation for 4-digit projects.		Paper/Electronic.	
1N-07	1.1.000	Tax Abatement Central Registry - Assigned, Modified or Cancelled	A registry of Texas businesses and taxing units that have tax abatements.	AC	2			AC = After expired or terminated.		Database Paper/Electronic	
1N-08	1.1.000	Reinvestment Zone Central Registry	A registry of documentation as required by Tax Code 312.005.	AC	2			AC = After expired		Database Paper/Electronic	



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					Years	Months	Days				
1N-09	1.1.000	Tax Increment Reinvestment Central Registry	A registry of documentation as required by Tax Code 311.016 and 311.019.	AC	2			AC = After expired or terminated.		Database Paper/Electronic	
1N-10	1.3.002	Publication Development Files	Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency. All background documentation produced to publish a publication		2				R	Paper/Electronic	
*1N-11	2.1.000	Database for Chapter 313	Track applications and agreements for recommendation purposes, master application list.	AC				AC = Until electronic records are transferred to and made usable in a new hardware or software environment with new documentation.			



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1N-13	1.1.000	Texas Conservation Plan for the Dunes Sagebrush Lizard	The Texas Conservation Plan (TCP) is a comprehensive Endangered Species Act conservation plan for the dunes sagebrush lizard between the U.S. Fish and Wildlife Service and the Texas Comptroller of Public Accounts. The Comptroller is the federal permit holder for the TCP and is responsible for the implementation of the TCP. Examples of the types of files related to the TCP include: the approved TCP documents, federal permit, contract/subcontract documents, information relating to fund management agreement with Texas Treasury Safekeeping Trust Company, correspondence, monthly/quarterly/annual reports, scientific research, and confidential information (such as enrollment and participant information, certificates of inclusion, reports, account transactions), and related documents that support	AC	5			AC = Date of the expiration of the federal permit for the Texas Conservation Plan whether by CPA, U.S. Fish and Wildlife Service or the terms of the permit. If the permit runs its full term, AC=30 years.	R		



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*1N-14	1.1.001	Utility Management Report	An annual reporting requirement and a biennial database for utility usage by state agencies		1						



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*1N-15	1.1.000	Chapter 380-381 Economic Development Agreement-Active Agreements	Chapter 380 of the Local Government Code authorizes municipalities to offer incentives designed to promote economic development such as commercial and retail projects. Specifically, it provides for offering loans and grants of city funds or services at little or no cost to promote state and local economic development and to stimulate business and commercial activity. Local governments set the terms and conditions of the agreements, including the duration. House Bill 2404 from the 87th regular legislative session requires local governments to report these agreements to the Comptroller, through an online reporting tool. The agreement documents must be available to the public by the Comptroller while the agreement is active.	AC	1			AC = After the expiration date of the agreement.		Electronic. Stored on agency server G:\Local Govt Asst\Chapter 380 & 381 Agreements and on agency website.	



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			Educational Opportunities & Investments (1T)								
*1T-01	1.1.000	College Saving Plans (Correspondence, Reports, etc.)	Correspondence e-mails and reports related to the College Savings Plan and the Lone Star 529 plan.	AV						Paper	
1T-02	1.1.000	Investment Direction Letters	Directions letters and transaction verification for the program's investment managers and custodial trust.	FE	3					Electronic	
1T-03	1.1.000	Texas Tuition Promise Fund (Correspondence, Reports, etc.)	Correspondence e-mails and reports related to the Texas Tuition Promise Fund	AV						Paper / Electronic	
1T-04	2.1.000	Texas Tuition Promise Fund	Outsourced to North Star Financial Services Group, LLC. Includes applications and funds for the program	AC	5			AC = After Graduation		Electronic	
1T-05	2.1.000	College Saving Plans	Outsourced to North Star Financial Services Group, LLC. Includes applications and funds for the program	AC	5			AC = After Graduation		Electronic	



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1T-06	2.1.000	Texas Tomorrow Fund Applications	Applications for Texas tomorrow Fund contracts from 1996 through 2003	AC	5			AC = After Graduation or refund of college money. Includes Intent to Enroll forms.		Electronic	
1T-08	4.1.006	Investment Reports	Required by the General Appropriations Act	FE	5					Paper	
1T-10	4.1.006	Investment Transactions	Yearly Investment s Reports to the Legislative Budget Board	FE	5					Paper / Electronic	
1T-11	4.2.000	Deposit Vouchers	Daily receipt (deposit) activity processed by the Treasury Division	FE	3					Paper	
1T-12	4.1.001	Purchase Vouchers	Record of payments to Universities and contract cancellation request and refund of donations	FE	3					Paper	
1T-13	4.1.009	General Journal Vouchers	A record of budget entries and transfers of funds between an agency's budgets. Correcting journal year and adjusting entries and other journals necessary in the day to day operation of the plans.	FE	3					Paper	
1T-14	4.1.009	Money Receipts Books	Receipts given to walk in customer for Educational accounts.	FE	3					Paper	



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2H-01	1.1.000	Workload Review	This record series includes personnel information kept in field offices. Records are maintained in a secure location in the manager/supervisor office. Records include activity reports, case reviews, observations, quarterly and yearly employee reviews.	AC	3			AC = After review completed (Headquarters only)		Paper / Electronic. Confidential	
2H-02	1.1.000	Implementation Research and Documentation	This record series includes documenting the implementation of procedures and legislative changes.	AC	2			AC = After review completed (Headquarters only)		Paper / Electronic.	
2H-03	1.1.000	Tracking Logs / Documentation Worksheets	This record series includes taxpayer seminar registration logs, cell phone logs, issued equipment logs, taxpayer walk in logs, office registers (71-209), and any other logs kept in field office.	FE	1						
*2H-04	1.1.000	Notices - Freeze / Levy / Release	Record series includes notices mailed or faxed to financial institutions or third party levy sources and the responses received from them.			2					



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2H-05	1.1.000	Notices - Suspensions / Limited Seizures / Limited Seizure / Report of Property Seized	Records series includes Texas Notice of Suspension of Limited Sales & Use Tax Permit, Report of Property Seized and / or Notice of Seizure. Originals are kept in field offices. After retention period expires, original documents are microfilmed			6				Paper / Electronic. Confidential	
2H-06	1.1.000	Misdemeanor Collection Actions Active / Inactive	Record series includes documentation of enforced collection actions	FE	3					Paper. Confidential	
2H-07	1.1.000	Reference Cards & Materials	Record series includes reference cards created in Enforcement Headquarters	US						Paper / Electronic. Confidential	
2H-08	1.1.000	Canvassing Documentation	Record series includes documents used to canvass special local events such as trade shows, gun shows, boat shows, special holiday events, fairs, festivals, lawn care and landscaping, and flea market permitted and non-permitted businesses	FE	1					Paper / Electronic. Confidential	



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2H-09	2.1.002	Agency Work Manager System Master Files	Record series includes relatively long-lived computer files containing organized and consistent sets of complete and accurate electronic records. (Ex. Data tables of relational databases used by applications or computer programs	AC				AC = When hardware or software changes occur		Electronic. Confidential	
2H-10	3.1.000	Office Reviews	Documentation from office review - conducted to document performance appraisals of field office manager.		2						
2H-11	4.0.000	Seizure Documentation - Full Seizure	Record series includes Notice of Seizure, Notice of Intent to Sell, Bill of Sale, Pre-seizure worksheet, Inventory sheets, Perishable Item Statement and Full Seizure Profile	AV						Paper / Electronic.	



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2H-12	4.0.000	Issue and Acknowledgement Form	This form is used for recording and controlling stamps/decals and receipt books sent to the field offices from the distribution center or transferred from one field office to another. Form 00-749	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.			
2H-13	4.1.000	Decals	Amusement machine decals (Form 30-310) and Customs Broker Stamps (Form 00-844) issued in the daily activities of the agency	AC		1		AC = After decal expires		Paper. Confidential	
2H-14	4.1.000	International Fuels Tax Agreement Decals	This record series includes non-issued IFTA decals (Form 56-300)	AC		3		AC = After decal expires		Paper / Electronic. Confidential	



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					Years	Months	Days				
1A-01	1.1.000	Legislative Correspondence	Comptroller legislative correspondence to/from Texas Legislators, Leadership and Congressmen.	AC	3			AC = Date of response to correspondence	R	Paper/Electronic (ECSM system)	
1A-06	1.1.007	Administrative Correspondence	Comptroller administrative correspondence to/from public and internal pertaining to the formulation, planning, implementation, interpretation, modification or redefinition of the Comptroller's programs, service or projects and the administrative regulations, policies and procedures that govern them.		4				R	Paper/Electronic (ECSM system)	
1A-07	1.1.010	Executive Directives	Comptroller executive directives that initiates, rescinds or amends general office procedures.	US	1					Paper/Electronic (ECSM system)	
1A-08	1.1.011	Executive Orders	Comptroller executive orders that initiates, rescinds or amends a regulation, policy or procedure that governs the Comptroller's programs, services or projects.	US	3				A	Paper/Electronic (ECSM system)	



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			Fiscal Management - Statewide Fiscal Oversight (3A)								
3A-01	1.1.000	CMIA and GASB	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					Paper/Electronic	
3A-02	1.1.000	Agency 902 Files	Files which contain original budget set-up documents, special transactions unique to the agency, correspondence dealing with specific agency issues.		4					Paper/Electronic	



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3A-03	1.1.000	Super Security Deletes	Records documenting Super Security Delete requests from state agencies using CPA form 73-310 and daily DAFR2011 Transactions Deleted Report.	FE	2					Paper/Electronic	
3A-04	2.2.000	USAS Central Profile Change Request Forms	These forms document central profile changes to the USAS system. The forms contain approval signatures and supporting documentation for the changes made.	FE	2					Paper/Electronic	
3A-05	2.2.000	ACR Files-Ongoing Use	Application Change Requests (ACR) that involve changes or enhancements to the Uniform Statewide Accounting System (USAS). These ACR files are needed for documentation updates, research, problem resolution and future enhancements.	AV						Paper	



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3A-07	4.1.000	Inter-Fund Borrowing	Provide cash to the agencies to meet payroll until a federal cash draw-down can be made under the CMIA guidelines. Legal Cite: V.T.C.A. Government code Sub-Chapter F, Section 403.092, 76th Leg, 1999, R.S.	FE	3					Paper/Electronic	
3A-08	4.2.000	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 the Texas State Statutes. Working papers and documents used to process the allocation payments.	FE	3					Paper/Electronic	
3A-09	4.1.009	Journal Vouchers	A record of budget entries and transfers of funds between State Agency's budgets that have been processed in USAS by Appropriation Control on behalf of the State Agency.	FE	3					Paper/Electronic	



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3A-10	4.3.000	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						Paper/Electronic	
3A-11	4.5.000	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					Paper	
3A-12	4.5.002	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	5					Paper/Electronic	



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3A-13	4.5.002	Worksheets for Preparing Fiscal Reports	This record 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 Comptroller's reporting requirements. Financial Reporting prepares CAFR & Cash Report.	FE	5					Paper/Electronic	
3A-14	4.5.003	Annual Financial reports	Annual Financial reports required by Texas Government Code, Section 403.013	AC	6			AC = September 1 of odd numbered calendar years. Financial Reporting prepares CAFR & Fiscal Analysis prepares Cash Report.		Paper/Electronic	
3A-15	4.7.000	Bill Costing Files	Any and all documents and correspondence dealing with the biennial costing the appropriations bill for four legislative sessions. An electronic copy of the official document is also kept on the shared G drive for Appropriation Control.		8					Paper/Electronic	



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3A-16	4.5.002	Agency 902 Monthly Reconciliations	Provides detail information on accounting events generated by USAS each month. It is used to reconcile monthly activity on funds/accounts administered by the eh Comptroller's Office and Funds/Accounts collected by the Comptroller. Reconciliations are separated by funds administered and collected by the Comptroller for other state agencies or universities. Revenues collected for other state agencies or universities are Recurring Transaction Indexed (RTI) to the agencies or universities.	FE	5					Paper/Electronic	



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3A-17	5.2.006	Inventory-SPA Agency Compliance Files	Annually catalog required Inventory Certification Form #73-238 (all state physical inventory-maintained electronically), SP A/CANSS Year End Reconciliation Folders (folder with working papers) and Agency Primary Contracts Form #73-286 (required responsibility for property signature form-paper maintained in binders).	FE	3					Paper/Electronic	
3A-18	3.3.030	Training Center Administrative Records	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(a)(b). Rule 523.143(a) In order to support the reports required of participants, the sponsor of group live, or self-study, nano, or blended programs shall retain the following records: 1) record of participation, sign-in sheet reflecting the CPE credits earned by each participant including those who arrive late or leave early.	US	5					Paper/Electronic	



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3A-19	4.7.012	Voucher Signature Cards	Voucher signature cards correspondence with agencies regarding signature authorization	US	4					US = Until Superseded and at the Fiscal Year End (US=FE+3). Expenditure Audit. Paper / Open	
3A-20	4.1.009	Reconciling Work Files	Monthly USAA/Treasury Fund Cash Reconciliation (UTR) web application that is located on: https://fmcapaint.cpa.state.tx.us/utr/main login. Working documents and final reports are stored electronically on G:/FISCAL ANALYSIS/USAS TREASURY RECONCILIATION/FY XX WHEREXX is for the fiscal year.	FE	3					Paper/Electronic	
3A-21	1.1.002	Expenditure Audit report and Working Papers	Expenditure audits and reviews performed on state agencies for compliance with state and federal regulations, and Comptroller rules and regulations. The file includes the working papers that support the audit.	AC	7			AC = After audit is complete.		Expenditure Audit. Paper - 2010 & Older. Electronic - 2011 & forward. Reports Open; Working Papers are Confidential	



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					Years	Months	Days				
*3A-22	5.1.001a	Post Payment Contracts - 9/1/2015 and After	Contracts with agencies to process payments through USAS. AC = Expiration or termination of instrument according to its terms. Review every two years. Expenditure Audit Section. This is applicable to contracts executed, renewed, or amended on or after September 1, 2015.	AC	7			AC = Expiration or termination of instrument according to its terms.		Reviewed every two years. Expenditure Audit. Paper / Open See related RSIN 5.3.007a/b/c for bid documentation. See RSIN 5.1.017 for contract logs.	Government Code, 441.1855
*3A-23	5.1.001a	Surety Bonds/Honesty Bonds: Peace Officers	Bonds required by state statute-copies are sent to CPA & Secretary of State by the agency or institution. This is applicable to contracts executed, renewed, or amended on or after September 1, 2015.	AC	7			AC = Expiration or termination of the bond according to its terms.		Expenditure Assistance. Paper / Open See related RSIN 5.3.007a/b/c for bid documentation. See RSIN 5.1.017 for contract logs.	Government Code, 441.1855
3A-24	4.2.000	Settlements and Judgments Files	Copies of vouchers and related documentation supporting payment of Tort Claims.	FE	3					Paper	
3A-25	4.2.000	Miscellaneous Claims No Response Files	Correspondence sent to claimants in which no response has been received to complete the file.	FE	1					Paper	



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3A-26	4.2.000	Miscellaneous Claims Vouchers and Files	Documents received from claimant and state agencies that contains information the Comptroller is required to keep in accordance with Texas Government Code Annotated 403.74	FE	1					Paper	
3A-27	4.1.001	ORP Vouchers	These records are payments made to junior colleges pursuant to TEX.GOV'T CODE ANN.SEC830.202 (d) (Vernon Supp.2002) which requires the junior colleges to certify to the Comptroller of Public Accounts (Comptroller) an annual estimate of the funds needed to pay the state matching contributions for their employees participating in the Optional Retirement Program (ORP). Based off of these estimates the Comptroller established project budgets the Uniform Statewide Accounting System (USAS)	FE	3					Paper	



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*3A-28	4.7.000	Miscellaneous Claims Tracking Systems	Electronic Microsoft Access System to track Miscellaneous Claims that Fiscal Management receives from Claimants and State Agencies. System also contains information REQUIRED BY THE Texas Government Code Annotated 403.074.	AV						Electronic	
3A-29	4.7.000	Settlements and Judgments Tracking Systems	Electronic Microsoft Access System to track Miscellaneous Claims that Fiscal Management receives from state agencies & the Attorney General's Office. Certain data is derived from the hard copy settlement/judgment and recorded in the tracking system.	AV						Expenditure Assistance. Electronic. Open & Confidential	
3A-30	2.1.000	Aging Warrant Report	Monthly inventory of held warrants in the Payment Services vault. The inventory ensures all warrants are accounted for. Memo and discrepancy findings are sent to the Division manage.		3					Paper/Electronic	



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3A-31	2.2.000	Payee Forms and Documentation	Payee applications, change request forms, hold set-ups, hold changes, hold releases, bankruptcy file and LOA data changes		5					Electronic	
3A-32	3.2.008	Direct Deposit Forms	Direct deposit authorizations, direct deposit changes and cancellations.	US	2					Electronic	
3A-33	4.1.000	Texas Education Agency and Foundation School Payment (TEA/FSP)	Documentation indicating CPA approval of TEA's payment schedule for FSP. Consists of: TEA e-mail, USAS screen prints of the 37 and 35 screens and warrant register, if applicable.	FE	3					Electronic	
3A-34	4.1.000	Offset Warrant Reports	Queries run by Payment Services, Uniform Statewide Accounting System (USAS) documentation, Entry screen prints, Payee Hold Release (PHDREL) and Payee Hold Change (PHDCHG) screen prints used for processing warrant offsets.		4					Electronic	
3A-35	4.1.001	Expedite Purchase Vouchers	From submitted by agencies when requesting an expedite payment.	FE	3					Electronic	



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3A-36	4.1.001	Agency Authorization for Warrants Pick Up	Forms signed by the agency heads every two years giving CPA authority to release warrants to designated employees and/or courier services or authorization to send warrants through U.S. mail.	FE	3					Paper/Electronic	
3A-37	4.4.000	Cancellation Files	Cancellation vouchers, USAS and Treasury cancellation reports		4					Paper/Electronic	
3A-38	4.4.000	Single Warrant Release Requests	Forms from hold source agencies requesting the release of a single warrant.	FE	7					Electronic	
3A-39	4.4.000	Application to Report Indebtedness	Form completed by agencies to apply for a hold reason code.	AC				AC = Until hold reason code is no longer needed by requesting agency.		Paper / Electronic. Open	
3A-40	4.4.000	Summary Payee Number Files	Forms from agencies requesting summary numbers or requests to change or delete numbers.	AV						Paper/Electronic	
3A-41	4.7.000	Daily Warrant Transmittal Reports	Warrant signature report signed by agency representatives when picking up warrants of r their agencies.		8					Electronic	



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3A-42	4.7.000	Warrant Log	Photocopy of warrant log received from IT Operations is used to document warrant number range printed, warrant stock control numbers used and any voids or rewrites that IT Operations has given Payment Services staff for warrant stock ruined during the print process.		8					Paper/Electronic	
*3A-43	5.1.001a	Bailment Contracts - 9/1/2015 and After	Forms signed by agency heads every two years stating they will not release payroll warrants prior to pay day, and contract violations correspondence. This is applicable to contracts executed, renewed, or amended on or after September 1, 2015.	AC	7			AC = Expiration or termination of the instrument according to its terms		Paper / Electronic. Open See related RSIN 5.3.007a/b/c for bid documentation. See RSIN 5.1.017 for contract logs.	Government Code, 441.1855
			Fiscal Management - Statewide Fiscal Systems (3H)								
3H-01	1.1.000	Texas Online Certifications	Records documenting interface test compliance and certification for Texas Online applications interfacing to the statewide accounting system.	FE	1					Paper	



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*3H-02	1.1.000	Semi-Annual Security Confirmations	Records from state agency security coordinators confirming their users' application-level access to USAS, USPS, SPRS, HRIS, SPA, WEB schedules, Bank of America PAT application, MANEX, and CAPPs.	FE	1					Electronic	
3H-03	1.1.043	User Group Training Materials	User Group meeting materials for CAPPs, HRIS, SPA, SPRS, USAS and USPS.	US	1					Electronic	
3H-04	1.2.013	Training Center Web Applications - Training Finding Aids, Indexes, and Tracking Systems	Training Center is a single point of access to training offered by CPA/Fiscal Management. State & Higher Education employees can register for classes, view class schedules and openings, and keep track of training histories all in a Web-based interface at https://fmx.cpa.texas.gov/fmx/training/index.php	AC				AC = Related Training Center Administrative Records are destroyed according to US + 5.		Electronic	



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3H-05	2.2.000	Application Change Request (ACR) Files	Records of ACR's 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.	AC	6			AC = Documentation no longer needed for technical support or research		Paper / Electronic. Open	
*3H-06	3.1.000	State Government Accounting Security Records	Records from state agency security coordinators requesting their users application-level access to USAS, USPS, SPRS, HRIS, SPA, WEB schedules, Bank of America PAT application, MANEX, and CAPPS.	FE	5					Electronic	
3H-07	1.1.000	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						Paper/Electronic	



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					Years	Months	Days				
3H-08	3.2.000	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	3					US = Until Superseded and at the Fiscal Year End Paper/Electronic	
3H-09	3.2.000	Salary Supplementation for Fiscal Year	Higher education reports: base plus supplement to salary for chancellors and presidents.	FE	3					Electronic	
3H-10	1.1.000	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						
3H-11	4.7.012	Letter of Authorization (LOA) Signature	Letter and signature from listing the agency's authorized personnel who can submit a LOA	US	4					US = Until Superseded and at the Fiscal Year End. Paper/Electronic	



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					Years	Months	Days				
3H-12	2.1.000	Uniform Statewide Accounting Systems (USAS)	The statewide financial accounting system used by the Comptroller's office to monitor, manage and control agency appropriations, produce payments made from funds in the Treasury Operations Division and prepare both cash-basis and accrual-basis financial reports.	PM						PM: The following records are extracted and kept permanently; General Ledger Extract Archive, History Extract Archive, Appropriation Extract Archives, Cash Flow File Archive. Electronic	
3H-13	2.1.000	Uniform Statewide Payroll/Personnel System (USPS)	An automated personnel and payroll system administered by the Comptroller's office that processes and maintains personnel and payroll data for Texas state government.	PM						Electronic	
3H-14	2.1.000	State Property Accounting System (SPA)	The property accounting system of record for Texas state government, administered by the Comptroller's office.	PM						Electronic	
3H-15	2.1.000	Standardized Payroll/Personnel Reporting System (SPRS)	An automated personnel and payroll batch processes and maintains personnel and payroll data for Texas state government, administered by the Comptroller's office.	PM						Electronic	



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3H-16	2.1.000	Centralized Accounting and Payroll/Personnel System (CAPPS)	CAPPS Central is the main systems platform of the CAPS program, central managed and maintained by the Comptroller's office as the Application Service Provider (ASP). The platform consists of PeopleSoft-based CAPPS Financials and CAPPS HR/'Payroll baseline applications and related components.	PM						Electronic	
3H-17	2.1.000	Texas Identification Number Systems (TINS)	Maintains detailed payment information on state payees.	FE	8					Electronic	
3H-18	1.1.000	Human Resource Information System	An automated personnel system administered by the Comptroller's office that processes and maintains personnel and payroll data for the state.	PM						Electronic	
*3H-19	3.4.007	Fiscal Year Emergency Leave Reports	Reports compiled by agency personnel on an annual basis pertaining to employees who were granted more than 32 hours of emergency leave during the previous state fiscal year.	FE	5					Electronic	As required in Texas Government Code Section 661.902(d)



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			Fiscal and Agency Affairs Legal Services (1C)								
1C-03	1.1.000	Warrant Demand List	List of warrants that were cancelled	US						Electronic. Confidential	
*1C-04	1.1.000	Warrant Demand Letter Files	Files containing response letters, regarding cancelled warrant status request.	AC	4			AC = After date of last CPA correspondence.			
1C-05	1.1.026	Texas Register Submissions (Open Meeting Notices)	Open Meeting Notices, or any other documents required by law, to be submitted to the Texas Register. Copies of all proposed, withdrawn, emergency and adopted rules.	AC	1			AC = Date of publication in the Texas Register. Open Meetings Notices, Fiscal and Agency Affairs Legal Services. Legal Banking Holiday Notices & Contracts.		Paper / Electronic.	
1C-07	4.7.010	Bond Transaction Documents	Bond legal documents supporting issuance of debt instruments and state financing.	AC	3			AC = After Retirement of Debt		Paper. Open	
			Hearings and Tax Litigation (1L)								
1L-04	1.1.021	Request Referred to OAG for Tax Hearing	Case files	AC	2			AC = Date of notification that records are exempt.		Paper / Electronic	



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					Years	Months	Days				
1L-05	1.1.048	Litigation Files for Tax Hearing	Tax Administrative Hearings documents only	AC	2			AC = After case closed. Portions will be protected from disclosure by attorney work product rule, attorney client privilege, or under Sub-chapter C of the Public Information Act. Litigation Section.	R	Paper / Electronic	
1L-06	1.1.000	Hearing Files	Administrative Hearing, includes Amusement Machine Hearings and Tobacco Case Penalty Hearings.	FE	3					These files include a variety of documents to include Bond Payment demands, Custom Broker violation notices, Election law on local taxes, Estate notices and various other documents Paper / Electronic	
1L-07	1.1.000	Court Case List	Administrative hearing documents	US						Paper / Electronic	
*1L-08	1.1.013	Hearing Calendars	Calendars used by staff and attorneys to track hearing due dates for their cases.	CE	1					Paper	
1L-09	1.1.076	Subpoenas for Tax Hearing	Administrative hearing documents	AC	2			AC = After Case Closed		Paper / Electronic	



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1L-10	1.1.073	Tape Recordings Oral Hearing	State office of administrative hearing. Recordings of oral hearings held by administrative law judges	AC	3			AC = Last Action	R	Electronic / Confidential	
1L-11	1.1.073	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 = Last Action.	R	The paper files will be scanned into imaging, verified and then destroyed, The electronic copy will be destroyed 3 years after fiscal ends.	
1L-12	1.1.073	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 = Last Action	R	Paper / Electronic. Confidential	
Human Resources (1H)											
1H-02	1.1.000	Ergonomic Assessment	Analysis of employee's work area and proposed adjustments.	AC	3			AC = After termination of Employment		Paper. Confidential	
1H-03	1.1.056	ADA Documentation	Self-evaluations and plans documenting compliance with the requirements of the Americans with Disabilities Act	AC	3			AC = Termination of Employment		Paper / Electronic. Confidential	



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1H-04	1.1.075	Dispute Resolution Records	Documents relating to the consultation with an employee or management regarding work related issues.	AC	5			AC = Final Resolution		Paper / Electronic. Confidential	
1H-05	3.0.000	Teleworking Program	Applications and/or renewal request to work from a remote workplace, such as home or a satellite work center.	AC				AC = After remote assignment has expired and/or until superseded		Paper	
1H-06	3.1.000	Outside Activity Request	Request for approval to work outside the agency.	AC	5			AC = Termination of Employment		Paper	
1H-07	3.1.000	Employment History Cards	List of historical personnel actions	AC	5			AC = Termination of Employment		Paper. Confidential	
1H-08	3.1.000	Active Employee Personnel Files	Applications, resumes, transcripts, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures or in the employment advertisement. All documents included in the personnel file such as personnel action forms, performance appraisals, signed employment forms etc.	AC	5			AC = Termination of Employment		This includes multiple RSINs, 3.1.001, 3.1.002, 3.1.019, 3.1.006, etc.. Paper / Microform Confidential	



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1H-09	3.4.000	Request for Wellness Leave Form and Health Risk Assessment	Request for wellness leave from completed by employee, physician and Human Resources. Including proof of completed health risk assessment.	FE	3			AC = Termination of Employment		This includes several RSINs such as 3.1.022, 3.1.019, Paper. Confidential	
1H-10	3.1.006	Employee Assistance 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 = Termination of Employment		Paper. Confidential	
1H-11	3.1.011	Employee Insurance Records	Agency copies of information relating to the selection by employees of life, disability, health, and other types of insurance offered by the State of Texas to its employees (non-medical documents)	AC	4			AC = Until superseded or Termination of Employment		Paper. Confidential	
1H-12	3.1.014	Employment Selection Records	Includes notes of interviews with candidates, questions asked of applicants, and all other records that document the selection process.		2					Paper. Confidential	



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1H-14	3.1.024	Medical Statements	Information signed by a licensed health care provider.	AC	2			AC = Termination of Employment		Paper. Confidential	
1H-15	3.1.026	Criminal History Check	Criminal history record information on job applicants or agency employees obtained from the Department of Public Safety (DPS).	AC				AC = The criminal history record has served the immediate purpose for which it was obtained.		Paper. Confidential	
1H-16	3.1.027	Training Records	Certificates of completion, or similar records documenting the training.	AC	5			AC = Termination of employment		Paper / Electronic.	
1H-17	3.1.029	I-9 Form Eligibility for Employment	Federal reporting form (NS 1-9)	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.		Paper. Confidential	
1H-18	3.1.011	Employee Benefits	Agency copies of information relating to the selection of available benefit operations other than insurance. 401K and 457 administration prior to June 2001	AC	2			AC = Termination of Employment		Paper. Confidential	
1H-20	3.2.000	Workers' Compensation and Accident Reports	Agency copies of information relating to workers' compensation claims and reports of injury.	AC	5			AC = Termination of Employment		Paper. Confidential	



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1H-21	3.3.000	Current Employment Verification	Current employee verifications completed by Human Resources for lenders, leases, prior state verifications, etc.	AC	1			AC = Date request fulfilled		Paper. Confidential	
1H-23	3.3.011	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 = Termination of employment. PM Filmed at State library. Original Film at the State Records Center 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 July 2016. August 2016 to present in CAPPs.		Paper, Microform (Microfiche rolls), Electronic. Confidential	



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1H-25	3.3.026	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					Paper / Electronic. Confidential	
1H-29	3.4.007	Time Off and/or Sick Leave Request	This record series includes special leave request other than medical	FE	3						
1H-30	3.4.008	Sick Leave Pool / Medical Request	Submitted requests, approvals, number of hours transferred in and out, etc.	FE	3					Paper. Confidential	
1H-32	5.6.004	Driving Records	Employee driving record report	AC				AC = Until superseded or until termination of employment		Paper. Confidential	
			Information Security (2V)								
2V-01	1.1.000	Information Security Case Files	Notes/files pertaining to information security investigations	AC	2			AC = Termination of employment		sites/agencyadmin/RecMgmt/Lists/Records2	



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*2Q-01	1.1.000	Project Files	Project files include statements of work, invoices, important emails, requirement documents, technical documents, test plans, test scenarios, deliverable signoffs, status reports and other related documents.	AC	3			AC = Close of project. For projects that follow DIR's Texas Project Delivery Framework Reference Guide, and those requiring Quality Assurance Team review, a project is formally closed after submitting a post-implementation review of business outcomes to stated goals and objectives six-months after a project is completed. For smaller projects, after all the deliverables and end-to-end acceptance testing is completed is when a project is generally closed. At times, a project may be kept open for monitoring for 30-60 days, for example, when a new application is pushed to production; if there are no issues, the project will be closed.	R	Electronic / Open	



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2Q-02	1.1.067	Information Resources Deployment Review	The Biennial Information Resources Deployment Review is submitted to the Department of Information Resources (DIR) to provide a review of operational aspects of agency information resources in support of the agency's mission, goals and objectives, and confirms the agency complies with the state's IR-related statutes, rules and standards.	AC	6			AC=After submission to DIR	R	Electronic/Open	



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2Q-03	1.1.067	Prioritization of Cybersecurity and Legacy Systems	The Biennial Information Resources Deployment Review is submitted to the Department of Information Resources (DIR) to provide a review The biennial Prioritization of Cybersecurity and Legacy Systems (PCLS) report is submitted to the Department of Information Resources to provide a review of the agency's cybersecurity and legacy modernization projects to prioritize them for possible funding by the Texas Legislature. PCLS projects are included in the agency's legislative appropriations request package.	AC	6			AC = After submission to DIR	R	Electronic/Open	
2Q-04	2.2.001	Electronic and Information resources Accessibility Testing Documentation	Documentation of accessibility testing of the agency's information systems and electronic documents.	AC	3			AC = After an electronic and information resource is successfully tested for accessibility.		Electronic/open	



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2Q-05	2.2.002	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 crime	AC	1			AC = After date/time log was created.		Electronic/Confidential. IT Infrastructure, Network, Communications and Security.	
2Q-06	2.2.000	Inventory of Databases	An inventory of databases owned by IT	US						Electronic	
2Q-07	2.2.004	Inventory System Listings	A collection of Excel spreadsheets identifying Network Operations equipment type and location.	US						Electronic	
2Q-08	2.2.000	Web Call Email 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 problem/s.	AC	1			AC = When error or problem is resolved.		Software Development/Application Development and Support. Electronic/Open.	



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2Q-09	2.2.001	System Monitoring Records/Logs	Electronic files automated logs created to monitor computer systems such as print spool logs, console logs, tape activity, et.	AV	1					IT Infrastructure/Data Center Operations; Network, Communications and Security. Electronic/Open.	
2Q-10	2.2.002	Chargeback Records to Data Processing Service Users	Records created as part of the annual IT Cost Allocation Plan and Statewide Cost Allocation Plan.	FE	3					Electronic	
2Q-12	2.2.010	Data Processing Policies and Procedures	Documents establishing data processing policies, procedures, standards and guidelines for information systems.	US	3					Electronic	
2Q-13	2.2.016	Software License Keys	A software license key is a specific software-based key for a computer program. It certifies that the copy of the program is original and has been provided to the customer for authorization purposes.	LA	3						



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2Q-14	4.7.000	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						
2Q-15	5.2.000	Accountability Statements for Electronic Devices	Acknowledgement of receipt of pagers, cell phones and other hand-held electronic devices and related user responsibility	US						IT Infrastructure. Customer Service. Paper / Electronic. Open	
2Q-16	5.4.012	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 = After access review is complete		IT Infrastructure	



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*2Q-17	2.2.017	ServiceNow Records	Incidents: records of IT break/fix issues, numbered with INC##### format. Requests: records of standard service requests, numbered with RITM##### format. Changes: records of planned Hardware/Application/Software modification, enhancement, implementation, or deprecation, numbered with CHG##### format. Problem: records ongoing IT issues, numbered with PRB##### format.	AC	5			AC = Upon completion or close out of incident, request, change or problem.		Electronic. Confidential.	
			Internal Audit (1G)								
1G-01	1.1.002	Annual Audit Report	Report of audits performed for this year, status of findings and audit plan for the following year.	AC	7			AC = After release of final audit findings. Copies to LBB, Governor's Office, State Auditors Office, and Sunset Advisory Commission. CD's only			



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1G-02	1.1.002	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 = After completion of the audit			
1G-03	1.1.024	Audit Plans	Plans and records relating to the process of planning new or redefined programs, services, or projects, of an agency that are not included in or directly related to other records series in this schedule.	AC	7			AC = Decision made to implement or not to implement result of planning process.	R		
*1G-04	2.1.002	TeamMate Database	TeamMate database contains electronic records from the Division's internal audit processes, including: risk assessment, audit planning and execution, audit recommendation tracking and reporting, and auditor time accounting.	AC				AC = Until electronic records are transferred to and made usable in a new system environment, or there are no electronic records being retained to meet an approved retention period established in this schedule that require the use of the system.			



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1G-05	1.1.002	Internal Control Risk Assessment (ICRA) Database and Reports	An Access database that serves as the repository for the agency's key processes, risks and controls, ICRA reports are produced from this data as a result of ICRA workshops	US	7					US = When an updated and compared to the previous, the new supersedes the old. Information Security. Electronic/Confidential.	
Legislative Affairs (1R)											
1R-01	1.1.000	Legislative Monitoring by Agency Staff	Memo's written by agency staff from meetings attended.		2					Electronic	
1R-02	1.1.000	Legislative Tracking System	A system used for analyzing costing and tracking legislation.	AV				AV = Administrative Value		Electronic	
1R-03	1.1.000	Legislative Information Requests	Request from Legislators	AC	2			AC = Term of office		Paper/Electronic	
1R-04	1.1.027	Agency Proposals	Agency wide legislative proposals	AC	2			AC = Term of office		Electronic	
1R-05	1.1.027	Proposed Legislation	Drafts of proposed legislation and related correspondence all bills filed.	AV						Electronic	
Operations & Support Legal Services (1F)											
1F-01	3.1.018	Grievance Records	Closed files relating to the investigation of terminated employees grievances alleging termination for an unlawful purpose	AC	2			AC = After case is closed		Active Grievance investigation records are maintained by the General Counsel and are in the shared directory. Paper / Electronic. Confidential	



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*1F-02	1.1.048	Litigation Files - Employment Related Complaints to Administrative Agencies	Files related to formal complaints by an agency employee filed with the Equal Employment Opportunity Commission, the Texas Workforce Commission Civil Rights Division, or similar agency with authority to hear the complaint.	AC	1			AC = After case is closed	R	Paper / Electronic. Confidential	
1F-03	1.1.076	Subpoenas	Received from various sources for taxpayer information and other information	AC	2			AC = Case closed		Paper / Electronic. Confidential	
1F-04	1.1.021	Request Referred to OAG	Includes correspondence and documentation relating to requests for records that are exempt under the Texas Public Information Act	AC	2			AC = Date of notification that records are exempt		Paper.	
1F-05	4.6.000	Safeguard Records	These records were formerly know as IRS Safeguard Annual Review. Onsite safeguard IRS Audit Records (once every 3 years), Onsite Review Records, Corrective Action Plans (every 6 months), Annual Safeguard Security Report, Internal Inspection Records, Employee	AC	5			AC = After termination of agreement		Paper / Electronic. Confidential	



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1F-06	5.1.000	IRS Information Exchange Files Group 1	Federal Tax Information (FTI), IRS Extracts, SRFMI Data/Records, FTI Specifically Requested, Request Logs, State Tax Information, Logs of requests from IRS, Audit Trail Logs, (IRS Publication 1075 (September 2016) (Section 9.3.3.11) and subsequent versions thereof)	AC	7			AC = After completion of file		Electronic / Paper. Confidential	
1F-06A	5.1.000	IRS Information Exchange Files Group 2	Federal Tax Information (FTI), FTI Specifically Requested, FTI Received, State Tax Information, State Tax Information sent to IRS	AV				AC = After completion of file		Electronic / Paper. Confidential	



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*1F-07	5.1.001a	IRS Exchange Agreements	IRS Exchange Agreements and related records, Basic Agreement, Implementing Agreement, Transcript Delivery System Agreement, Secure Data Transfer Agreement, Joint Operations Center for National Fuels Tax Compliance Agreement, Excise Summary terminal Activity, Reporting System (ExSTARS) Agreement, Taxable Fuels Sampling and Results Sharing Agreement, Other agreements between CPA & IRS not listed herein, GLDEP Enrollment Records (including Need and Use Justification Records and Data Selection Records), All other agreements entered into between the IRS and CPA.	AC	7			AC = After termination of agreement		Paper / Electronic. Open See related RSIN 5.3.007a/b/c for bid documentation. See RSIN 5.1.017 for contract logs.	Government Code, 441.1855
1F-08	5.1.012	Cost Estimates for Requests	Charge schedules price lists that require programming and manipulation of data.	US	3					Paper / Electronic. Open	



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1F-09	2.2.016	Warranties and License Agreements	Software/Hardware, license and maintenance agreements containing warranties.	LA	3					Electronics-Contracts' Section G Drive and Paper-Physical Files. Contracts. Paper/Electronics. Open.	
*1F-10	5.1.001a	Contract Files - 9/1/2015 and After	Complete contract files includes, but not limit to signed contracts, PO's, solicitation docs, tax research, CAT/POD reviews, proposals, correspondence, drafts and notes, evaluation committee, approvals, notices, etc. Record Copy Notes: Contracts keeps original SECO & Endangered Species contracts; loans and grants (without PO). Convenience Copy Notes: Contracts keeps copies of all other contracts and proposals; Purchasing/CAP maintains originals (with PO). Contracts executed, renewed, or amended on or after September 1, 2015.	AC	7			AC = Expiration or termination of instrument according to its terms		Paper / Electronic (Server G Drive, CDs) Legal / Vital / Confidential See related RSIN 5.3.007a/b/c for bid documentation. See RSIN 5.1.017 for contract logs.	Government Code, 441.1855



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1F-12	5.1.017	Contract Logs	Contracts Management Database (CMD) and reports for logging and tracking contracts. Cumulative Reports (Reports) are generated from the CMD.	FE	3					Paper/Electronics/Computer Printout/Open. Electronic/CMD on Contracts Section G Drive and Paper/Cumulative Reports.	
1F-15	1.2.000	Records Representatives Listings	Records representatives listing is a listing of staff members that represent their areas in records management	US						Electronic	
1F-16	1.2.005	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 designation by the State Records Administrator	US	3					Paper / Electronic. Open	
1F-17	1.2.006	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 = 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.			



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1F-18	1.2.001	Request for Authority to Dispose of State Records	Request for Authority to dispose of state records (RMD102) Agency Copy	FE	3						
1F-19	1.2.010	Records Disposition Logs	Records disposition 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					Paper / Electronic	
1F-21	1.2.014	Records Management Plans	Plans and similar records that establish the policies and procedures under which records and information are managed in an agency.	US	1					Paper / Electronic. Open	
*1F-23	3.2.000	Abolished Agency Employee Records	Former employer verification records from terminated state entities.	AC	75			AC = Sunset / Terminated date.		List accessible to Human Resources, Open Records and Records Management.	
*1F-25	1.1.000	Abolished Agency Records	Meeting minutes, annual filings, audit reports, annual filing affidavits, certification of Board of Directors, General Ledger, and any records with a permanent retention.	PM						Abolished state agencies records transferred to the CPA for retention purposes.	



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2Y-01	1.1.000	Electronic Appraisal Roll Submission / Self Reports	Reports of property value submitted by appraisal districts and related forms, manuals and correspondence.	AC	10			AC = After final certification of the PVS (Normally in July of the following year.) Starting in 2010, record storage in agency only. Electronic. Open for 2010 and succeeding years. Confidential for 2009 and prior years.			
2Y-05	1.1.000	Electronic Property Transaction Submission	Records of property transactions sent to PTAD by appraisal districts twice a year and related from forms, manuals and correspondence. Electronic.	AC	10			AC = After processing		Electronic. Open and Confidential.	
*2Y-06	1.1.002	Property Value Recertification	Audit requests by school districts for revised values and related forms, manuals, and correspondence.	AC	7			AC = After final certification to TEA of the revised value, which could be at any time of the year, and up to several years after the PVS year for which the value is revised.			Gov. Code 403.302(h)



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					Years	Months	Days				
2Y-07	1.1.000	Re-appraisal Plans	Biennial reappraisal plans of appraisal districts submitted to the Comptroller under Tax Code Section 25.18	AC	4			AC = End of the FY the reappraisal plan covers. Reappraisal plans submitted by appraisal districts to Comptroller under Tax Code Section 25.18. the plans are posted on the Comptroller website.		Paper/Electronic. Open and Confidential	
2Y-08	1.1.000	Appraiser Working Papers	Documents from various sources during performance of the annual Property Value Study.	AC	2			AC = Final certification of the PVS to TEA, usually in July. Count of two years for retention purposes starts at this point.		Paper/Electronic. Open and Confidential	
2Y-09	1.1.000	Methods Assistance Program (MAP) Working Documents and Data	Documents from various sources including appraisal districts used by MAP reviews in preparing the MAP reports, plus related forms, manuals and correspondence.	AC	5			AC = Publication of the MAP Report, usually in December. Electronic and Paper documents. Open/electronic		Paper/Electronic Computer Files/ CDs.	



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					Years	Months	Days				
2Y-10	1.1.000	Arbitration Records	Documents involved in requests for arbitration, notifications, choosing arbitrators and determinations. Related forms, manuals and correspondence.	AC	5			AC = Date funds resulting from a determination are delivered to appropriate parties.		Electronic/Paper. Open and Confidential	
2Y-11	1.1.000	Arbitration/ Registry Records	Registry applications, related forms and arbitration records	AC	5			AC = When the arbitrator does not renew to remain on the registry.		Open & Confidential. Electronic	
2Y-12	1.1.000	Education Approval	Form 50-788 and supporting documents; renewal documents, feedback forms. Forms 50-798, 50-799, 50-800. Form 50-783; application, course materials, approval letters, related documents and correspondence. Form 50-769, related documents.	AV						Electronic/PDF Files	
2Y-13	1.1.000	Achievement Records (ARB and TNT training)	Registration and completion records materials for courses offered by PTAD to local governments and the public, plus related manuals, forms, and correspondence.	AC	5			AC = After last training session for the year. Registration and completion records. Includes rosters, sign-in sheets, and forms.		Electronic/Paper. Open and Confidential	



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2S-01	1.1.000	Successor Liability Audits	These records pertain to open taxpayer audit liabilities.	AC	4			AC = After liability is paid.		Records are maintained on OnBase. Some remain at TSLAC. Paper / Electronic. Confidential (Approval 106: 90-304-019)	
2S-02	1.1.000	Controlled Substance Stamps and Marijuana Stamp Logs	Stamps and a log of the sale of Controlled Substance Stamps.	AC				AC = Repealed in September 2015. Until changed by Legislation.		Miscellaneous Taxes. Paper/Confidential.	
2S-04	1.1.000	Taxpayer Documents Received	Paper and electronic documents received from taxpayers that are imaged and entered to the mainframe. Includes but not limited to tax reports and supporting documents, tax refund requests and supporting documents, penalty waiver requests and bond documentation. Once the documents are imaged or entered into the mainframe that becomes the record copy for the agency and the paper is destroyed.	AC				AC = After documents received from taxpayers are imaged.		All Sections. Paper/Confidential.	



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					Years	Months	Days				
2S-05	1.1.000	Successor Liability Fraud Audits	These records pertain to taxpayer audit liabilities investigated under the Fraud Statute.	AC	4			AC = After the liability is paid.		Records are Maintained on OnBase. Paper, Electronic/Confidential. Advanced Processes.	
2S-06	1.1.048	Bankruptcy Case Files	Files of bankruptcies where a proof of claim has been filed.	AC	7			AC = After the year in which bankruptcy is closed.	R	Bankruptcy & Liens. Paper/Open.	
2S-07	2.1.000	Computer System Testing-Taxes	Documentation of programs and testing results maintained by sections involved in Tax System development and/or testing.	AV						Tax Allocation. Paper and Electronic/Confidential.	
*2S-09	4.0.000	Judgment Files	Judgment files for all taxes. This includes Judgment files for Sales & Mixed Beverage.	PM						This AIN is combined with AIN 2S-11 from last recertification. Bankruptcy & Liens. Paper/Open.	
2S-10	4.0.000	Adoption and Election Files	Sales Tax adoptions, rate changes, maps reimpositions of utility tax and reimposition of tax.	PM						Tax Allocation. Microfiche, Paper/Open.	
2S-12	4.0.000	Law Enforcement Officers Standards and Education	Law Enforcement Officers Standards and Education Allocation Files.	FE	2					Tax Allocation (Approval 106: 07-304-287). Electronic, Paper/Open.	



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2S-13	4.0.000	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						Tax Allocation. Microfiche/Confidential.	
2S-14	4.0.000	International Fuels Tax Agreement (IFTA) New York Fee Transmittal	International Fuels Tax Agreement Transmittals and Allocation files and monies to fifty- eight jurisdictions (fifty states and eight Canadian provinces).		8					Tax Allocation (Approval 106: 01-304-269). Paper / Electronic. Open.	
2S-15	4.0.000	Judgment & Lien Fees Payment to County Clerk	Record of payments submitted to County Clerks for filing Abstracts of Judgment & state tax liens.		3	6				Bankruptcy & Liens (Approval 106: 90-304-017). Paper/Open.	
2S-16	4.0.000	Annexation, Deannexation Maps and Files	Contain local jurisdiction information concerning the annexation and/or deannexation of an area.	PM						Tax Allocation (Approval 106: 94-304-091). Paper/Open.	
2S-18	4.0.000	Benefit of Creditor Files	These are information files maintained until the liability is paid.	AC	3			AC = Until the liability is paid.		Bankruptcy & Liens. Electronic / Paper. Confidential.	
2S-19	4.0.000	IFTA Monthly Allocation - Administrative	International Fuels Tax Agreement allocation information files.		8					Tax Allocation. Electronic / Open.	



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2S-20	4.0.000	Open Inheritance Tax Estate Files	State and Federal Inheritance Tax files.	AC				AC = After Liability is Paid.		Miscellaneous Taxes. Paper/Confidential.	
2S-21	4.0.000	Bankruptcy / Courts/ Concluded accounts	Bankruptcy notices received from Bankruptcy courts.	AC	7			AC = After Bankruptcy notices are received from Bankruptcy Courts. Paper / Open.		This AIN is under review and may be removed if these records are deemed convenience copies.	
2S-22	4.0.000	Refund Vouchers	Bankruptcy courts.	FE	4					Fund and Payment Reconciliations (106: 99-304-250). Paper/Confidential.	
2S-23	4.0.000	Estate Claims Files	Paper files worked depending on the status of the liability.	AC	3			AC = Until the liability is paid.		Bankruptcy & Liens. Paper / Electronic. Confidential.	
2S-27	4.0.000	Attorney General Vouchers	Section personnel use the Attorney General vouchers to place the money in suspense.	FE	4					Fund and Payment Reconciliations. Paper/Confidential.	



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2S-28	4.1.000	PUC Gross Receipts	P.U.C. Gross Receipts excel spreadsheet for non-automated tax. Includes data received by the Miscellaneous Tax section of the annual gross receipts received from the Public Utility Commission. The spreadsheet is maintained by the Miscellaneous Tax section and kept indefinitely for possible audit purposes.	PM						Electronic. Subject to Audit.	
2S-30	4.1.000	Detailed Prints and Summaries of City Sales Tax, Mass Transit Authority and County Sales Tax	Comments and analysis of year over year allocations for each taxing authority.	FE	4					Tax Allocation (Approval 106: 92-304-074). CA View Microfilm/Confidential.	
2S-32	4.1.000	Closed Pari-mutuel Files	Contain reports faxed to the Comptroller by the race tracks.		11					Miscellaneous Taxes. Paper/Open. (Addendum submitted 04/18/2013 to add new 106 approval number.) 2004 through 2012. As of 2013 all records are electronic and stored on file servers (Approval 106: 08-304-288)	



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					Years	Months	Days				
2S-33	4.1.000	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					Bankruptcy & Liens. Electronic, Paper/Open.	
2S-34	4.1.000	Attorney General Summary Debt Report	The Comptroller of Public Accounts reports outstanding debt to the Attorney General's office.	FE	3					Bankruptcy & Liens. Electronic / Paper. Open.	
2S-35	4.1.000	Inheritance Tax Refund Log	Registers that contains a list of Inheritance Tax Refunds.	PM						Miscellaneous Taxes. Paper/Confidential.	
2S-37	4.1.000	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					Bankruptcy, & Liens. Paper. Confidential.	
2S-38	4.9.001	Suspense Registers for Protest	Deposits of checks/documents that are part of a lawsuit or pending legal action. These protest payments are processed to suspense code 563 for taxes not setup on ITS. Copy of payment and documents live in imaging so there is no need for us to send the registers to the library.	FE	1					Until judgment is received from the Attorney General's office. (Approval 106: 91-304-052) Fund and Payment Reconciliations. Electronic/Confidential. As of 03/19/2007, no records stored.	



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2S-39	4.9.001	Suspense Registers for Non-Protest	Daily registers of checks applied to Suspense and cleared to Miscellaneous Government, and documentation to checks sent back to the remitter requesting additional information.	FE	3					Fund and Payment Reconciliations. Electronic, Paper/Confidential.	
2S-40	4.3.000	Warrant Hold Registers	Daily warrant hold registers including House Bill 3211 registers.	FE	4					Fund and Payment Reconciliations. (Approval 106: 99-304-251) Electronic/Confidential.	
2S-42	4.3.000	Mixed Beverage Tax Allocation Files	Detailed files for Mixed Beverage.	FE	4					Tax Allocation. (Approval 106: 94-304-090) Electronic, Paper/Open.	
2S-43	4.3.000	Payback Files-Allocation	Correspondence and documents relating to terms of reimbursement from local authority to Comptroller.	AC	3			AC = After file is close.		Tax Allocation. Electronic, Paper/Confidential.	
2S-44	4.3.000	Allocation Direct Deposit Authorization	Original signatures authorizing direct deposits.	US						Authorization must be kept on file until the signature is superseded by another original signature. Tax Allocation. Electronic. Confidential.	



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2S-45	4.3.000	Re-allocation Worksheets	Listing of taxpayer accounts showing periods amended and amount of local sales tax moved from one taxing entity to another.	FE	4					Tax Allocation. Electronic / Paper. Confidential.	
2S-47	4.3.000	Hotel Tax Allocation Files	Detail Files for Hotel Tax allocation.	FE	4					Tax Allocation. Electronic. Open.	
2S-48	4.3.000	Controlled Substance Tax Files	Files with information pertaining to Controlled Substance Tax.	AC	2			AC = After file is closed.		Paper. Open.	
2S-49	4.3.000	Fireworks Distribution	Annual detailed print of Fireworks tax distributed. HB 761. Last allocation was in August 2015; repealed September 2015.		8					Tax Allocation. Paper. Confidential.	
2S-51	4.3.000	Surplus Lines Files Maintenance Updates	Excel spreadsheets received from the Texas Department of Insurance used to validate insurance files on Mainframe.	FE	4					Miscellaneous Taxes. Electronic. Confidential	
2S-52	4.1.001	Fund Balancing and Disbursal Registers	Balancing Reports and backup documentation. Includes both USAS and the Tax System reports. Journal Vouchers, Dispersal Vouchers, No Voucher Transfers, Suspense Vouchers, EFT Exceptions, and Fund and System Adjustment Vouchers.	FE	4					Fund and Payment Reconciliations. (Approval 106: 91-304-037) Paper / Electronic. Open.	



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					Years	Months	Days				
2S-54	4.7.000	Federal Flood Files by County Allocation Disbursals	Federal flood allocation files by counties. Yearly master files.	FE	9					Tax Allocation (Approval 106: 93-304-087). (Addendum submitted 4/18/2013 to add 106 approval number.) Electronic. Confidential	
2S-56	5.1.000	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 = After liability is paid.		Miscellaneous Taxes. Electronic, Paper/Confidential.	
*2S-57	4.1.009	Local Motor Vehicle Rental Allocation	CPA has contracted with local taxing entities to collect the local revenue liabilities. Includes history of payments processed and remaining balance.	FE	4					Tax Allocation. Paper/Electronic. Vital	



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					Years	Months	Days				
*2S-58	4.1.000	Ft. Worth Finance Zone Project	Cities are allowed to create a project finance zone to receive state sales, hotel occupancy and mixed beverage taxes to enhance and upgrade center facilities. A project finance zone expires no later than the 30th anniversary of the date of designation. Reports, journal and payment vouchers from a trust account are required to be retained.	AC	3			AC = On the expiration of the 30th anniversary of the date of designation.		Tax Allocation. Electronic / File Server. Legal. 2013 to present.	
*2S-59	4.1.009	Returned Payment Journal Voucher Packets	Journal Voucher, Summary Report, Release from USAS, Detail Report, Balancing Report, and other information required to balance Returned Payments and Voucher Corrections.	FE	3					Advanced Processes. Paper, Electronic\Confidential Stored on limited access file - G:\advcoll\Returned Payment Journal Voucher Packets Scans	
*2S-60	4.1.009	Tax Allocation Vouchers	Vouchers may include tax types of Sales, Mixed Beverage, IFTA, LEOSE, Local Mother Vehicle, Federal Flood, Fort Worth Finance Zone, and Hotel Convention Center. Types of vouchers may include journal, payment, and cancellation vouchers.	FE	4					Tax Allocation. Paper / Electronic. Vital	



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			Revenue Estimating (1D)								
1D-01	1.1.000	Correspondence	Documents that have information relating to legislation.		2					Paper/Electronic	
1D-02	1.1.000	Databases	Mainframe databases; REVS, Excl files on G Drive	AV						Electronic.	
1D-03	1.1.027	Proposed Legislation	Proposed recommendations on legislative issues.	AV						Paper/Electronic	
1D-04	3.3.020	Work Schedules	Staff member listing scheduled to work.	US						Electronic.	
			Revenue Processing (2F)								
2F-05	1.1.000	Cash Remittance and Disposition Log	These are logs used to record date, amount, taxpayer name and number, and T-code to process cash as received.	FE	3					Cashiers Office. Sites/agencyadmin/RecMgmt/Lists/Records2 Paper/Confidential	
2F-06	1.1.000	Attorney General Requests	These records are processed through File Net			3				Tax Records. Sites/agencyadmin/RecMgmt/Lists/Records2. Electronic/Open.	



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					Years	Months	Days				
2F-07	1.2.013	Key From Image Files/Registers	These records consist of Deleted DLN Registers, Batch Aging Reports, ITIMS prep, Uploads, and Registers. Also include Deposit Prep, Uploads, Registers and Cleared Deposits. Plus IFTA registers, Scanner DLN logs and Scanner Operator-Control Batch Logs. Reports showing transactions that were accepted, rejected, suspended, and/or processed.	AC	10			AC = After automation, paper documents will no longer be required. ACR pending #22317 for automation into Info Pac. Paper/Confidential. As of 07/22/2008, dates of records stored are 2004 through 2006. 5/2006 imaged as 990's. Remittance Entry & Data Imaging. Document Preparation and Image Capture.			
2F-08	2.1.002	Automated Missing DLN Register	Listing used to find created document locator numbers that have not been uploaded to the mainframe	AC				AC = Completion of registers plus 90 days.		Sites/agencyadmin/RecMgmt/Lists/Records2. Paper/Confidential.	
2F-09	3.1.000	Seasonal Staff Information	Timecards from seasonal staff and a spreadsheet	FE	1					Bill rate for Evins Temporary Agency includes time cards. Operations Support. Sites/agencyadmin/RecMgmt/Lists/Records2. Paper/Confidential	



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					Years	Months	Days				
2F-10	4.1.000	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					Incoming Mail. Sites/agencyadmin/RecMgmt/Lists/Records2 Electronic/Confidential	
2F-11	4.2.000	Deposit Correction/Adjustment	Correction/adjustment of the grand total deposit due to an error on the deposit register.			3				Remittance Entry/Cashier's Office. Sites/agencyadmin/RecMgmt/Lists/Records2. Paper/Confidential	
2F-12	4.8.001	Cashier Approval Deposit Slip	Cash deposit slips	FE	3					Cashiers Office. Sites/agencyadmin/RecMgmt/Lists/Records2 Paper/Confidential	
2F-13	4.1.001	Cash Monthly Audit	Audit of the cash that flows through the Cashiers' Office	FE	3					Remittance Entry/Cashier's Office. Sites/agencyadmin/RecMgmt/Lists/Records2. Paper/Confidential	
2F-14	4.1.001	Cashier's Money Batch Room Lock/Unlock Log	A section log used for employees to initial and verify money that is secured	FE	3					Cashiers Office and Document Inquire and Edit. Sites/agencyadmin/RecMgmt/Lists/	



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9A-01	4.1.001	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.	AC	7			AC = After completed or terminated.		Paper/Open.	
9A-02	4.7.000	Grant Application Plan	SECO state energy plan submitted to the United States Department of Energy.	AC	7			AC = After closed and the Fiscal Year End		Paper and Electronic/Open.	



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9A-03	4.7.008	Federal Grant Records-This series documents state and federal grant projects participated in or administered by state agencies. It includes grant authorization records which provide evidence of the award of grants to or by agencies, grant/project financial or performance reports which are periodic reports of financial activity and/or program performance related to grants received or made by agencies. Copies of the Notice of Financial Assistance Awards (NFFA), Financial Status Reports, and records of SECO grants.	Copies of the Notice of Financial Assistance Awards (NFAA) , Financial Status Reports and records of SECO grants.	AC	7			AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative agreements to State and Local Governments. (The Common Rule.)		Open/Electronic 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, 36CFR	



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					Years	Months	Days				
9A-04	4.7.000	Contract Files	Contains general correspondence and deliverables. (We are covered under the CPA umbrella) Will need to remove.	AC	7			AC = After Open/Electronic 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, 36CFR Sec.1207.42(b) and OMB Circular A-102		Electronic/Open.	
			Statewide Procurement - Statewide Contract Development (6A)								
6A-07	2.2.013	Quality Assurance Records (QAR)	QAR's are filed with Open Market Files and Term Contracts	AC	4			AC = No longer needed as an audit trail for any records modified.		Paper/Electronic.	



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*6A-16	5.1.001a	Term Contracts	Contracts, leases and agreements include term contracts for all state agencies and COOPs (Includes contingency emergency contracts.)	AC	7			AC = Expiration or termination of the instrument.		See related RSIN 5.3.007a/b/c for bid documentation. See RSIN 5.1.017 for contract logs.	Government Code, 441.1855
*6A-17	5.1.001a	TXMAS Multiple Award Schedules	Texas Multiple Award Schedules. To become a TXMAS Vendor, a company must have a GSA, other Federal, or State Contracts.	AC	7			AC = Expiration or termination of the contract according to its terms.		Paper / Electronic. Confidential See related RSIN 5.3.007a/b/c for bid documentation. See RSIN 5.1.017 for contract logs.	Government Code, 441.1855
*6A-18	5.1.001a	State Travel Payment Card and Fleet Programs	Statewide travel contracts, leases and agreements for airline, hotel, rental car, travel agency and payment card services files.	AC	7			AC = Expiration or termination of the contract according to its terms.		Paper / Electronic. Confidential See related RSIN 5.3.007a/b/c for bid documentation. See RSIN 5.1.017 for contract logs.	Government Code, 441.1855
*6A-19	5.1.001a	Open Markets Contracts	Contract, leases, agreements, solicitation instruments, bidder responses, bid tabulations for award contracts, to include open markets contracts for all state agencies and COOPs.	AC	7			AC = After contract is terminated		Paper / Electronic. Confidential See related RSIN 5.3.007a/b/c for bid documentation. See RSIN 5.1.017 for contract logs.	Government Code, 441.1855



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*6A-23	5.1.014	Procurement Manuals - SPD	Procedures for processing open market requisitions and contracts.	US	1					Electronic	
			Statewide Procurement - Statewide HUB (6B)								
6B-03	1.1.000	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 numbers of ready, willing, and able businesses in State procurement and contracting.	AV					A	Paper	
6B-04	1.1.000	Historically Underutilized Business Applications (HUB)	Incoming HUB Applications for Certifications and/or Recertification.	FE	3					Paper. Confidential	
6B-05	1.1.000	Historically Underutilized Business Program Reports	TAC, Title 34, Part 1, Chapter 20	FE	3				A	Paper	



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6B-08	3.1.000	Statewide Forum Files	Statewide HUB Program Economic Opportunity Forum Files that include correspondence with the event coordinator, event advertisements, event agendas, and other documents.	FE	3				A		
			Statewide Procurement - Statewide Mail (6C)								
6C-06	2.1.000	Office of Vehicle Management Database	A database of state owned/leased vehicles for state agencies and institutions of higher education	FE	3					Electronic	
6C-10	4.8.001	Electronic Fund transfers Postage	Mail Operations - Maintain record of postage funds deposited by State agencies.	FE	3					Electronic	
6C-11	4.3.000	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					Paper	
6C-13	4.7.012	State Agency Acceptance Signatures	Reports signed by state agency representative certifying that reports were delivered and received.	US	4					US = Until Superseded and at the Fiscal Year End (FE) Paper	



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*6C-18	5.1.001a	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	7			AC = Expiration or termination of the instrument according to its terms.		Electronic See related RSIN 5.3.007a/b/c for bid documentation. See RSIN 5.1.017 for contract logs.	Government Code, 441.1855
6C-20	5.1.005	Performance vs Budget Analysis Report	Daily and monthly reports that include balance of meter transactions deducted from agency postage accounts.	FE	3					Paper	
6C-21	5.1.005	Postage Funds Deposit Records	List of funds deposited by entitles using metering services at SPD.	FE	3					Electronic	
6C-26	5.6.000	Office Vehicle Fleet Management User Request	Incoming request for changes submitted either via voice-mail, e-mail or fax.	AC				AC = After update is completed		Electronic	
6C-27	5.6.000	Statewide Mail Vehicle Logs	Daily log for vehicles.	FE	3					Paper	
			Statewide Procurement (6J)								
6J-15	5.1.000	Telephone Log	Listing of customers and vendors that contact the agency.	US							
			Statewide Procurement - Data Management & Analytics (6L)								
6L-14	5.1.000	Electronic State Business Daily	Electronic State Business Daily (ESBD) postings	AV						Electronic	



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6L-24	5.3.000	Texas Council on Purchasing from People with Disabilities	Electronically store Work Quest (formally TIBH) State Use Exception Reporting in NetSuite which Texas Workforce Commission will query reports from the public-facing website when needed.	AV						Electronic	
			Statewide Procurement - Procurement Policy and Outreach (6P)								
6P-01	1.1.000	Centralized Master Bidders List	Incoming CMBL applications or renewals for active status.	FE	3					Paper / Electronic	
6P-02	1.1.000	Vendor Performance Program	Tracks statewide vendor performance	AC	4			AC = Report published in Vendor Performance Tracking System		Electronic	
6P-09	3.1.027	Training and Certification	Statewide Contract Manager and Statewide Contract Developer Certifications	AC	5			AC = Termination of employment		Electronic	
*6P-25	5.3.000	Texas SmartBuy Membership Program	Original applications, resolutions, documentation required as proof of eligibility for Texas SmartBuy members and name change forms for existing members.	AC	2			AC = After membership expiration. Membership expiration = One year after member's annual renewal date.		Paper / Electronic	
			Support Services (1J)	FE	3						



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					Years	Months	Days				
1J-01	1.1.000	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.	CE	1					Paper. Open	
1J-02	4.7.004	Capital Asset Records	Agency owned assets	LA	3						
1J-05	5.1.003	Delivery Reports	Original manifest of delivery activity from the warehouse internal divisions		2						
1J-06	5.1.007	Certificates for Employee Orders	Request for certificates for anniversary and retirements	AV						Work order is completed and routed to graphics	
1J-08	5.2.004	Move Requests / Space Configurations	Documentation of move requests by divisions.		1					Electronic	
*1J-09	5.2.006	Equipment Accountability Sheet	Equipment inventory detail accountability report forms. To include report forms: Property Accountability Record; 79-104 Property Change Record; and 74-194 missing, damaged or stolen property report.	FE	3					Paper / Electronic	
1J-10	5.2.006	Annual Inventory	Inventory of agency owned assets	FE	3					Paper / Electronic	



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1J-11	5.2.019	Service Orders	Request from internal customers. Put into Service Now.		1					Electronic	
1J-12	5.2.020	Supply Picking Tickets	Picking tickets of all forms and supply request for stock	FE	1						
1J-13	5.3.000	Return Merchandise Logs	Logs of all merchandise returned to sender with recorded RMA for tracking	AV							
1J-14	5.3.004	Freight Bills of Lading	Documents the receipt of equipment, supplies, other items and services from vendors. The series includes: packing slips; and shipping and container lists; and bills of lading.	AV						Paper	
1J-16	5.4.001	Automobile Accident Reports	Automobile accident report/s.	CE	5					Paper	
1J-17	5.4.002	Evacuation Plans	Plans for evacuation of agency facilities in case of an emergency.	US						Paper / Electronic.	
1J-18	5.4.012	Security Access Records	Records relating to the issuance of office keys, ID badges, security access badges, field badges, signed documents and electronic files.	AC	2			AC = Until superseded, date of expiration, or date of termination, whichever sooner. Includes key cards.		Paper / Electronic (EXCEL).	
1J-19	5.6.003	Vehicle Maintenance	Documentation of completed maintenance work	LA	1					Paper / Electronic.	



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1J-20	5.6.005	Fuel Receipts	Vehicle fuel receipts	FE	3					Paper / Electronic.	
1J-21	5.6.005	Vehicle Use Reports	Documentation of mileage, fuel / oil consumption, passengers carried and other related operation information.	FE	3					Paper / Electronic.	
1J-22	5.6.007	Vehicle Titles / Titles Registration	Documentation of all vehicle titles within the Support Services Division	LA						Paper / Electronic.	
1J-23	5.1.000	Outgoing Mail Work Orders	A work order requesting services to be performed by the agency outsource mail vendor.		1						
1J-24	5.1.000	Quick Copy Work Orders	These records include printed and completed work orders (forms 83-126 & 75- 100) accompanied by transitional information.	AV							
1J-25	5.2.008	Equipment History	Agreements or Contracts between the agency and equipment vendor to provide maintenance service for equipment. Includes request for installation, moves , service, etc.; and service/repairs logbooks, etc.	LA	3					Paper. Open	
1J-26	5.2.010	Equipment Manuals	These records include manuals of copiers, binding equipment, and other devices used by Quick Copy.	LA						Paper. Open	



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1J-27	5.4.011	Visitor Control Logs	Sign in log listing names, times, telephone numbers and area being visited. Includes badge number assigned to visitor		3					Paper. Open	
*1J-28	1.2.015	Disaster Recovery Service Transmittals	Texas Records Center form tracking delivery and pickup of continuity and disaster recovery boxes.	FE	1					Former AIN was 2V-03. sites/agencyadmin/RecMgmt/Lists/Records2	
*1J-29	1.2.016	Disaster Recovery Approval Form	Agency copy of form authorizing access to offsite continuity and disaster recovery information stored at the Texas Records Center (RMD 113).	AC				AC = Until superseded or termination of service		Former AIN 2V-04. sites/agencyadmin/RecMgmt/Lists/Records2	
Support Services - Document Management (1V)											
1V-01	2.1.007	Document Processing Database	The databases are address lists for mailings. The addresses are merged with a letter when requested by a division. The lists could be from the ECSM system or from the requestor	AC	1			AC = After work order requests are completed.		Electronic.	



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1V-02	5.1.007	Document Processing Work Orders	Work Order from 75-103 is used to request a mailing. The form contains the requestor/division contact information, due date for the mailing, supplies needed, and the number of letters.	AV						Paper / Electronic.	
Tax Policy (2E)											
2E-01	1.1.000	Exempt Organization Finish Files	Projects and Exemptions/Exempt Organizations. Documents are set up in Agency Work Manager and uploaded electronically to OnBase.	CE	4					Paper. Open	
2E-02	1.1.000	Exempt Organization Field Assignments-Provisional	Application pending field review or follow-up to provisional franchise tax exemptions.	AC				AC = After completed, account closed.		Paper. Open	



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2E-03	1.1.000	Rule History File	Original documentation of all proposed, withdrawn, emergency, and adopted, rules and notices or any other documents required by law to be filed in Texas Register. History of promulgated tax rules kept for auditors, hearings attorneys, Litigation Section and Attorney General's Office. Tax Policy Dissemination.	AV						Paper. Open	
2E-05	1.1.000	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							
2E-06	1.1.000	Special Mailings	One-time notifications of policies or procedures related to affected parties, general public or industries	CE	3						
2E-07	1.1.000	Insurance Tax Correspondence	Correspondence from tax payers. Some of these records are also in the Electronic Star System	CE	4						



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2E-08	1.1.000	Oil & Gas, Fuels and Miscellaneous Tax	Correspondence from tax payers. Some of these records are also in the Electronic Star System	CE	4						
2E-09	1.1.000	Franchise Tax Correspondence	Correspondence from tax payers. Some of these records are also in the Electronic Star System	CE	4						
2E-10	1.1.000	Sales Tax and Motor Vehicle Correspondence	Correspondence from tax payers. Some of these records are also in the Electronic Star System	CE	4						
2E-11	1.1.000	Electronic Tax System	Original tax research database stored on microfiche and later converted into State Tax Automated Research. Tax Research System microfiche ending in 1996. Operations/Tax Policy Dissemination.	PM							
2E-12	1.1.008	Exempt Organization Letters	Applications for exemptions received that resulted in an organizations new exempt status		1						
2E-13	1.1.026	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 = Date of publication in the Texas Register.			



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2E-14	1.2.003	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	2			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.			
2E-15	3.1.039	Ombudsman Records	Consultation records, notes, letters, memos, emails, reports and other documentation maintained by Ombudsman.	AC	1			AC = Final decision or matter closed.			
			Tax Hearing Office of Special Counsel (2K)								
2K-01	1.1.000	Rehearing Memos	Confidential Memos for the following: Proposals for Decision, Motions to Dismiss, and Motions for Rehearing.	AC	4			AC = the date the Comptrollers decision becomes final		Electronic/Confidential	
2K-02	1.1.000	Dismiss Memos	Confidential Memos for the following: Proposals for Decision, Motions to Dismiss, and Motions for Rehearing.	AC	4			AC = the date the Comptrollers decision becomes final		Electronic/Confidential	



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					Years	Months	Days				
*3J-01	4.8.001	Account Holder Information	<p>Personal and Joint Accounts: Account Holder file and history which includes account agreements with Texas Bullion Depository and U.S. driver's license or acceptable secondary form of identification, which includes but is not limited to U.S. passport; ID card issued by U.S. federal, state, or local government agency; U.S. military ID; U.S. permanent resident card; school ID card with photo; and voter's registration card. Acceptable form of proof of address includes active utility bill, bank statement, credit card bill, vehicle registration, property tax bill or statement, and cellular telephone bill.</p> <p>Corporate, Trust, and Estate Accounts: Account Holder file and History which include account agreements, state issued driver license for the account steward or acceptable form of secondary identification for the account steward, proof of address, business documents (i.e.. Article of Incorporation, Limited Liability Company filing certificate, etc.), trust agreement documentation, and letters of administration.</p>	AC	10			AC = After account is closed.		Account information is retained PM unless the account is closed. After close, account information will be retained AC+10. If an account is inactive, it will be retained 3 years, after which it will be considered closed. Once closed it will follow the AC+10 retention.	



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3J-02	4.7.000	Account Holder Transactions, Account Asset Information, and Market Price History	Deposit Slips, Withdrawal Slips, Statements, Account Activity/Account Activity, Account Information, and Account Asset price History records/Texas Depository Precious Metal Market Price History	AC	10			AC = After Account is closed.		Inactive accounts will be maintained for 3 years, then it will be considered closed and follow the AC+10 retention. Electronic. Confidential	
3J-03	4.5.000	Annual Report	Texas Government Code 2116.026-The Comptroller shall submit to the governor and the legislature a report on the status, condition, operations and prospects for the depository and depository participation.	PM						Electronic	
*3J-04	1.1.008	Customer Service Call Recordings	Customer Service Call Recordings		10					Electronic	
3J-05	4.7.000	Daily Asset (SKU) & Transaction reports	Documentation on Daily Asset reports provided by the vendor, and daily transaction activity.		10					Electronic	
3J-06	1.1.000	Inventory Audits	Documentation in the performance of Inventory Audits, including dates, and audited assets.		10					Electronic	
3J-07	4.1.001	Invoices-Bills	Invoices-Bills and related supporting documentation		10					Electronic	



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3J-08	1.1.070	Policies and Procedures	Records of Policies and Procedures for the Texas Bullion Depository	AC	1			AC = Completion or termination of program, rules, policies or procedures.		Paper and or Electronic. Open	
3J-09	5.4.000	Security Cameras	Records of Security Cameras in the facility where bullion is stored.	PM						Electronic	
*3J-10	2.2.018	System Security Plan and Supporting Documentation	Records on System Security Plan (SSP).	AC	1			AC = Completion or termination of program, rules, policies or procedures.		Electronic	
			Treasury - Treasury Accounting (3L)								
3L-01	1.1.000	Texas Workforce Commission Documents	Daily fund activity for funds 0936 and 0937, transaction detail and reports and daily reconciliation reports.	FE	3					Paper/Daily reconciliations are maintained electronically as an Excel Spreadsheet and began electronic retention FY19.	
3L-02	4.2.000	Documents of Original Entry	Documents of original entry include but are not limited to deposit vouchers, journal vouchers, and expenditure vouchers.	FE	3					Electronic	



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3L-03	4.5.002	Fund Accounting Documents	Warrant summary lists/register and transmittal reports, warrants reinstatements, daily cancellations and interest allocation reports.	FE	5					Paper/Beginning FY19, retention is solely electronic as Excel Spreadsheets and PDF files.	
3L-05	4.7.000	Cash/Fund Accounting Documents	FPT 120 reports, daily reports and reconciliation of disbursements.	FE	3					Paper/Daily reconciliations are maintained electronically as an Excel Spreadsheet (electronic retention began FY19).	
3L-06	4.7.000	Bank Accounting Documents	Transaction detail reports, daily bank reports, bank statements, bank analysis statements, and daily reconciliations.	FE	3					Paper/Daily reconciliations are maintained electronically as an Excel Spreadsheet (FE + 3).	
3L-07	4.8.001	Rapid Deposit Bank Statement.	Bank statements, deposit slips, charge listings, discrepancies and rapid deposit detail.	FE	3					Paper	
			Treasury - Public Finance (3K)								
3K-01	4.2.000	Tax and Revenue Anticipation Notes Documents	Official Statements with tax documentation on Tax and Revenue Anticipation Note sales	AV						Paper/Electronic	
3K-02	4.3.000	Bond Transcripts	Official records of municipal bond issues		50					Paper	



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3M-01	1.1.000	Security Deposit Withdraw Form	State Agency completed deposit and withdrawal forms for safe kept securities Collateral section fills out their own FY End disposition log.	FE	3						
3M-02	1.1.000	Payer Information Form	Completed Texnet enrollment and change forms. A monthly emails for destruction of these forms is sent.	AC	1			AC = After files become inactive.			
3M-03	3.3.030	Public Funds Investment Act Training Lists.	Annual lists of Districts that received investment responsibility training as mandated by Section 49.1571, Texas Water Code	US	2						
3M-04	4.1.000	Daily Worksheets, Backup, Wire Transfer.	Daily wire transfer worksheets with backup information.	FE	3						
3M-05	4.1.001	Texas Gov Daily Reconciliations	Copies of Texas. Gov daily reconciliation screens with backup	FE	3						
3M-06	4.1.006	Investment Agency File	Daily worksheets of investment activity with backup information.	FE	5						
3M-07	4.2.000	Collateral Deposit/Withdrawal Forms/Trust Receipts	completed collateral deposit, withdrawal forms and trust receipts from approved depository banks	FE	3						
3M-10	4.8.001	Fedwires/ACH	Daily worksheets for incoming fedwires/ACH	FE	3						



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3N-01	2.1.007	Banking and Electronic Processing Electronic Data	PeopleSoft financials and Metavante/Image Vision on Network. This system stores data used to send image cash letters to different financial institutions.	AC				AC = After transaction closed.		Electronic	
3N-02	4.1.000	Chargebacks	Collection letters to the BOFD due to forgeries, breach of warranty, death of payee altered warrants.	FE	3					Paper and Electronic - New Chargeback System created in Access on 04/08/2011. All chargeback correspondence boxed and sent to Library every FE.	
3N-03	4.1.000	Paid State Warrants/Checks	Original paid warrants for Counters, Expedites and Fed RCPC warrants. After warrant is paid. Stored at Agency as of 09/04/2007. Shred monthly after storage retention period is reached	AC	10			AC = After warrant is paid		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.	



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3N-04	4.1.000	Paid State Warrants	Original paid warrants for Counters, Expedites and Fed RCPC warrants. After warrant is paid. Stored at Agency as of 09/04/2007. Shred monthly after storage retention period is reached	AC	1			AC = After warrant is paid. Stored at Agency as of 09/04/2007. Shred monthly after storage retention period is reached.		After warrant is paid. Stored at Agency as of 09/04/2007. Shred monthly after storage retention period is reached	
3N-05	4.1.000	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					Paper - Warrant Copies	
3N-06	4.1.000	People Soft - Warrant Processing	People Soft live on 04/02/2012. Uploads, updates and daily processing for warrant presentments. Maintain all balancing reports & worksheets.		3					Paper/Electronic. Records kept at agency as PDF's beginning 04/01/2013. Purged monthly after storage retention is reached.	
3N-07	4.1.000	Bank - Daily Correction Forms	Details of daily worksheets for bank presentment totals 7 adjustments. Records kept at agency as PDF's beginning 04/01/2013. Purged monthly after storage retention period is reached.		3					Paper.	



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					Years	Months	Days				
3N-08	4.1.000	Cash Letters	Daily cash letters for Counters and RCPC's from Fed along with expedite tapes		3					Paper - Kept at agency as of 09/04/2012. Shred monthly after storage retention is reached.	
3N-09	4.1.000	Automated Clearing House / Electronic Data Interchange Detail	Detail documentation of ACH / EDI files		10					Paper	
3N-10	4.1.000	Outstanding Warrant Detail List	List of outstanding State Warrants. Status on fiche are I, IS & IPR. Used as a cross reference with paid history. Microfiche-Kept at agency until retention period.		10					Microform - kept at agency until retention is reached.	
3N-11	4.1.000	Check Processing Documents	Internal documents related to processed checks.		3					Paper	



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3N-12a	4.1.000	Paid Warrant history	Warrant status history on microfiche	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.	
3N-12b	4.1.000	Paid Warrant history	Warrant status history on microfiche		10					Microfiche - Copy retained at agency for 10. Kept in vault, room 113	
3N-13	4.1.000	Daily Deposit Records	Daily deposit report and related documentation.	FE	3					Paper	
3N-14	4.1.000	Fund Allocation Network Files.	Excel Spreadsheet documentation used for daily monitoring of financial transactions. NOTE: This part of the EFT Checklist (98-304-228)	FE	3					Paper and Electronic - Daily process printed once all transactions have been keyed into the fan file in Excel. Documentation kept at agency.	



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3N-15	4.1.000	Texas Workforce Commission (TWC) Balance & Float Worksheet	Excel Spreadsheets used to calculate balances and float for TWC deposits			2				Electronic	
3N-16	4.1.000	Return Item Information Worksheets	People Soft report documentation for return item transactions.	FE	3					Paper / Electronic	
3N-17	4.1.000	EFT Daily Checklist / Fan	Detail documentation of manually keyed financial transactions.	FE	3					Paper/ Electronic - Daily process printed once all transactions have been keyed into the fan file in Excel. Documentation kept at agency.	
3N-18	4.1.000	Auto Wholesale Reports	reports and F-docs from all auto/wholesale lockbox accounts. Bank deposit/credit card data UT lockbox process	FE	3					Paper	
3N-19	4.1.000	Bank Adjustment Documentation	Documentation of various research items related to check processing.	FE	3					Paper	



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					Years	Months	Days				
3N-20a	4.1.000	Paid State Warrants / Checks	Images of paid state warrants and processed checks.		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.	
3N-20b	4.1.000	Paid State Warrants/Checks-Agency	Images of processed checks and warrants.		10					Electronic / DVD's no longer created as of 01/25/2013. Electronic/DVD's-DVD Copy no longer created as of 1/25/2013. Current DVD's at agency are 09/2002 thru 02/2005. Images are now kept online for 10years. Will be purged monthly as retention period reached.	
3N-21	4.1.000	Sources of Receipt	Detail of payments for warrant(s) processed by CPA sent to requesting bank.		1					Paper - Source of receipts requested from banks.	



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					Years	Months	Days				
3N-22	4.1.000	Retail F-Docs and Recaps	Reports and F-Docs. From all retail lockbox accounts.	FE	3					Paper	
3N-23	4.1.000	Retail Lockbox Film	Microfilm of retail lockbox transactions	FE	10					Microfilm - Original microfilm kept at agency for 10 years. Microfilm no longer processed as of 11/14/2007. Current at agency are 09/062002 thru.	
3N-24a	4.1.000	Warrant Issues Registers	Warrant issue information on microfilm includes: warrant number, amount, payee name, agency number and fund number	PM						Microfilm - Microfilm no longer developed as of 1984. Permanent record at Library: 07/1897 thru 08/1984.	
3N-24b	4.1.000	Warrant Issues Registers - Agency	Warrant issue information on microfilm includes: warrant number, amount, payee name, agency number and fund number		10				R	Microfiche - Copy of TWC daily registers created on microfilm for period of 01/14/2008 thru 11/04/2009. Fiche was not active from 06/07/2007 to 01/13/2008. It was reactivated from 01/14/2008 to 11/04/2009. Created on fiche again from 11/05/2009 thru 08/31/2010.	



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					Years	Months	Days				
3N-25a	4.1.000	Warrant Issue Registers	Warrant issue information on microfiche includes: warrant number, amount, payee name, agency number and fund number.	PM						Microfiche - Original Diazo kept at Library permanently. Current at Library: Monthly/Individual classes - 09/1975 thru 09/1993; Monthly/CPA - 03/21/1983 thru present; Daily/TWC - 09/1976 thru 08/31/2010; Daily/DHHS - 9/1976 thru 09/14/2011.	
3N-25b	4.1.000	Warrant Issue Registers - Agency	Warrant issue information on microfiche includes: warrant number, amount, payee name, agency number and fund number.		10				R	Microfiche - Copy for all fiche kept at agency for 10 years. Current at agency: Monthly/CPA - 09/2002 thru current; Daily/TWC - 09/2002 thru 08/31/2010; Daily/DHHS - 09/2002 thru 09/14/2011.	
3N-26	4.1.000	Counterfeit & Altered Warrants	Check 21 - Counterfeit and altered warrants transmitted electronically to Frost Bank.		10					Paper/Electronic - From 05/08/2007 thru 08/09/2007, transmitted electronically to Chase Bank. From 08/10/2007 to current, transmitted to Frost Bank. Last paper original kept at agency dated 12/30/2003.	



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3N-27	4.2.000	UT Longhorn Foundation	Bank deposits/credit card data for UT lockbox process.	FE	3					Paper. Credit card receipts. As of 02/02/2012. These records are created in a different format. Kept at agency until retention is met.	
3N-28	4.1.001	Daily Cash Receipts Log	Log of lockbox cash received in the mail.	FE	3					Paper.	
3N-29	4.5.000	Teller Reports	Reports from tellers and automated reports with teller transactions.	FE	3					Paper.	
3N-30	4.7.000	Status Changes	Request from State agencies to change warrant status to stop or lift.	FE	3					Paper.	
3N-31	5.1.015	Correspondence Tracking Record	Correspondence from State agencies.		1					Paper. Lock Box correspondence	
			Unclaimed Property (2L)								
2L-01	1.1.000	Safe Deposit Box Contents Significant Papers/Miscellaneous	Original signed wills, original military discharge papers and original appraisal sheets.	AC	5			AC = Box inventoried and logged into database		Paper	
2L-03	1.1.000	Stock Explanation Requests	Calculations of remitted securities and funds pertaining to stock.	AV						Paper and Electronic/Open.	
2L-04	1.1.000	Sales Tax Registers	On-line auctions of Safe Deposit Box contents.	FE	4					Electronic/Sixbit/Open.	
2L-05	1.1.000	Unclaimed Property Diskettes and CD ROMs	These are Diskettes and CD ROMs received from holders.	AC				After data is loaded to system.		Diskettes and CD's/Open.	



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2L-06	1.1.000	Unclaimed Property Valuables Tracking Log	A log used to track stocks stale dated checks and bonds and gift cards.	AV						Electronically	
2L-08	1.1.000	Waiver, Allocation, Refund Request and Capital Credits	Includes telephone and electric cooperative waiver requests and capital credit refund requests and the dispositions of those requests.	FE	2					Paper and Electronic.	
2L-09	1.1.000	Penalty & Interest Waiver Requests	Includes holder requests to waive penalty and interest fees and the dispositions of those requests.	FE	3					Paper and Electronic	
2L-10	1.1.000	Unclaimed Property Database	Computer files containing Unclaimed Property electronic records.	PM						Database contains records from 1986 to present. Electronic/Confidential.	
*2L-11	3.4.004	Overtime Schedules	List of individuals who are scheduled to and did work overtime each week on OneNote.	FE	1					Electronic	
2L-13	4.2.000	Securities Deposit Record	Deposit slips for valuables going to securities management vault.	FE	3					Paper/Open.	
2L-14	4.2.000	Cash Deposit Voucher	Cash deposit slips. Includes receipts for both cash found in safe deposit boxes and cash for the purchase of auction catalogs.	PM						Electronic	



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2L-18	4.7.000	Claim Files Denied and Paid	Claim forms and ownership documentation.			3				These documents are imaged after three months. Paper and Imaged/Open.	
2L-19	4.7.000	Holder Remittance Reports	Reports of unclaimed property sent to Comptroller's Office from holders.	PM						Original Microfilm is kept at the State Records Center. As of 03/19/2007, dates of records stored are 1920 through 1998.	
2L-20	4.7.000	Pending Claims	Received claims not yet approved or denied. Awaiting additional information from claimant.	PM						Electronic. Confidential	
2L-21	4.7.000	Safe Deposit Box Holders Reports	Includes holders original inventory sheets.	PM						Electronic. Confidential	
2L-22	4.7.000	Release Authorizations	Withdrawal slips for valuables in securities management vault.	FE	3					Paper. Confidential	
2L-23	4.7.000	Holder Reports	Holder remittance reports for research area which included bonds, traveler's checks, cashier checks, gift certificates, and money orders reported by each holder.	PM						Paper / Electronic. Confidential	
2L-24	4.7.000	Unclaimed Property Microfiche	Holder remittance reports from 1963 through 1983, and 1984 through 1987 all properties are listed on the database.	PM						Paper / Electronic / Microfiche. Confidential	



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*2L-26	4.7.005	Paid Claims / Holder Claims	These are claims approved prior to December 2000. After August 2001 these are imaged and the paper documents are destroyed.	PM						Confidential	