



March 8, 2017

Mr. Michael Reagor
Audit Research Specialist
Texas State Auditor's Office
1501 N. Congress, #3.325
Austin, TX 78701

Re: Agency records retention schedule approved for use.

Dear Mr. Reagor,

Lorenzo de Zavala
State Archives and
Library Building

Your agency's records retention schedule is approved for use as of February 28, 2017. Your currently approved records retention schedule is available on our website at <https://www.tsl.texas.gov/slrn/state/schedules.html>. Please ensure that all old copies of the schedule are superseded with this recertified copy.

1201 Brazos Street
Austin, Texas
78701

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

P.O. Box 12927
Austin, Texas
78711-2927

Each agency schedule must be reviewed, updated and submitted for recertification annually for the first two years after the initial approval of the schedule and every five years thereafter. The deadline for submission of your schedule for its next recertification is the last working day of February, 2022.

www.tsl.texas.gov

Commission Chairman
Michael C. Waters

During a certification period, changes may need to be made to your schedule. State regulations (13 TAC §6.4) also allow for the submission of amendments to the retention schedule as needed to keep the information in the schedule current. If you are not familiar with the amendment process, or if you have any other questions, please contact the Government Information Analyst assigned to your agency, Erica Wilson-Lang at 512-463-6627 or ewilson@tsl.texas.gov.

Members

Sharon T. Carr
F. Lynwood Givens
Larry G. Holt
Romanita Mata-Barrera
Wm. Scott McAfee
Martha Wong

Your efforts in developing a records retention schedule are appreciated. It not only helps to ensure the integrity of your recordkeeping practices, but it is also essential to the success of your records management program.

Director and Librarian
Mark Smith

Sincerely,

Assistant State Librarian
Gloria Meraz

Craig Kelso
Director and State Records Administrator

cc: Agency head; State Auditor

TSLAC

Preserving yesterday
Informing today
Inspiring tomorrow



STATE OF TEXAS Records Retention Schedule Certification

SLR 105C

Form SLR 105 or SLR 122
must accompany all
submissions of this form.

Section 1. Agency Information

(Submitting agencies complete this section only)

Agency Code 308

Agency Name State Auditor's Office

(Check one)

- Initial Certification - Form SLR 105
- Recertification - Form SLR 105
- Amendment - Form SLR 122

I hereby certify that this records retention schedule was prepared in accordance with Texas Government Code, Chapter 441, Subchapter L.

(Check one)

- Agency Head
- Records Management Officer

Signature

Michael Reagor

Name (Print or type)

Michael Reagor

Date

10/28/16

Section 2. Approvals

(Submitting agencies do not write in this section)

State Auditor's Office

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

Signature

Name (Print or type)

Date

Not Required at This Time

Texas State Library and Archives Commission

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

Signature

Name (Print or type)

Date

Donna Osborne

Donna Osborne

2/28/17

Cert/Recert No.

9

Amendment No.

CAUTION

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

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



STATE OF TEXAS

Records Retention Schedule

1. Agency Code: 308		2. Agency Name: Texas State Auditor's Office										
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Retention Period			8. Ret. Code	9. AC Definition	10. Archival	11. Remarks	12. Legal Citations	13. N, C, S, O
				Years	Months	Days						
01.001	1.1.007	Correspondence - Administrative	Incoming/outgoing and internal correspondence pertaining to the formulation, planning, implementation, interpretation, modification, or redefinition of the programs, services, or projects of an agency and the administrative regulations, policies, and procedures that govern them.	4					R	ARCHIVES NOTE: Only the administrative correspondence of executive staff, board or commission members, division directors and program heads require archival review. Contact the State Archives when these records have met their retention periods. CAUTION: This records series and item number 1.1.008 should be used only for correspondence that is not included in or directly related to another records series on the agency's approved schedule.		

Retention Codes (Field 8)

AC – After closed, terminated, completed, expired, settled
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FE – Fiscal year end

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01.002	1.1.008	Correspondence - General	Non-administrative incoming/outgoing and internal correspondence, in any media, pertaining to or arising from the routine operations of the policies, programs, services, or projects of an agency.	2					SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.
01.003	1.1.013	Calendars, Appointment and Itinerary Records	Calendars, appointment books or programs and scheduling, or itinerary records purchased with state funds or maintained by staff during business hours that document appointments, itineraries, and other activities of agency officials or employees.	1			CE		R ARCHIVES NOTE: Only the calendars, appointment records, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the State Archives when these records have met their retention periods. CAUTION: A record of this type purchased with personal funds but used by a state official or employee to document his or her work activities may be a state record and subject to this retention period. See Open Records Decision 635 issued in December 1995 by the Office of the Attorney General.

<p><i>Retention Codes (Field 8)</i></p> <p>AC – After closed, terminated, completed, expired, settled AV – Administratively valuable</p>	<p>CE – Calendar year end FE – Fiscal year end</p>	<p>LA – Life of asset PM – Permanent</p> <p>US – Until superseded</p>	<p><i>Archival Codes (Field 10)</i></p> <p>A/I – Transfer to State/University Archives R/O – Review by State/University Archivist</p>
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STATE OF TEXAS

Records Retention Schedule

01.004	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.	3			AC	AC = Final disposition of summary report.		SEE item number 1.1.067 for summary reports compiled from customer surveys. Includes post-audit surveys. SAO policy is to retain longer than minimum required by the Texas State Library and Archives Commission (TSLAC).		
01.005	1.1.040	Speeches, Papers, and Presentations	Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.				AC	AC = End of term in office or termination of service in a state position.	R	Does not include training presentations (see Agency Item Number 12.001).		

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01.006	1.1.057	Transitory Information	<p>Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.), are routine messages; internal meeting notices; telephone message notifications, routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.</p>				AC	AC = Purpose of record has been fulfilled.	<p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction signoffs (1.2.001) or in records disposition logs (1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (1.2.014).</p>		
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Records Retention Schedule

01.007	1.1.063	Staff Meeting Agendas, Minutes, and Notes	Agendas, minutes, notes, and supporting documentation, for internal or interagency meetings.	1							
01.008	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 compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	5			FE		R		
01.009	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			CAUTION: Does not include source documentation used for information or data included in or directly related to another records series in this schedule.	
01.010	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							
01.011	1.2.004	Forms Inventory	Any periodic listing of all forms used internally or externally by an agency.				US				

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Records Retention Schedule

01.012	1.2.003	Forms History File	Print masters of original version and all subsequent revisions to an agency form, including any associated design or design modification requests.	1			AC	AC = Discontinuance of use of form.		29 CFR §1602.31.
01.013	1.3.001	State Publications	One copy of each state publication as defined on page xi of the state schedule, except a publication that is subject to a different retention period in this schedule. For example, a meeting agenda (see item number 1.1.058) also meets the definition, but it must be retained permanently; item numbers 1.1.004, 1.1.055, 1.1.066, 1.1.068, and 4.5.003, which also meet the definition, are closely associated with the appropriations process and must be retained AC + 6.	2			AC	AC = Until superseded or obsolete.	CAUTION: Many state publications must be submitted to the Texas State Publications Depository Program of TSLAC by law (Texas Government Code, Sections 441.101-441.106). TSLAC 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 TSLAC (Title 13, Texas Administrative Code, Sections 3.1-3.16).	

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Records Retention Schedule

01.014	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.				AV		R		
01.015	2.1.011	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.		CAUTION: These records must carry the same retention period and archival code of the records they support.	
01.016	3.3.020	Work schedule/assignments	Work, duty, shift, crew, or case schedules, rosters, or assignments.	1							
01.017	3.3.022	Texas Workforce Commission (TWC) Reports	Reports to the agency from TWC or its predecessor pertaining to employees.	3							
01.018	3.3.025	Job Procedure Records	Any documents detailing the procedural duties and responsibilities of agency positions on a position-by-position basis.	3			US				

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Records Retention Schedule

01.019	4.5.003	Annual Financial Reports	Required by the General Appropriations Act (100 Day Report).	6			AC	AC = September 1 of odd-numbered calendar years.	A	CAUTION: If an agency does not produce a biennial or annual narrative report as described in item number 1.1.066, then these annual financial reports must be marked with Archival Code A. The archival requirement, when a biennial or annual narrative report is not produced, is met by sending the required copies of the reports to the Texas State Publications Depository Program of TSLAC.		
01.020	4.5.005	External Fiscal Reports	Special purpose reports, such as federal financial reports, salary reports, etc. Includes Historically Underutilized Business (HUB) Reports.	3			FE					
01.021	4.5.006	Annual Operating Budgets	Required by the General Appropriations Act.	3			FE					
01.022	3.1.037	Employee Recognition Records	Awards, incentives, tenure, etc.	5			AC	AC = Termination of employment.				
01.023	5.4.002	Evacuation Plans	Plans for evacuation of agency facilities in case of emergency.				US					

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Records Retention Schedule

01.024		Special Project Records	Records of projects conducted by agency staff that do not fall under another record series. Includes notes, reference material, meeting minutes, correspondence, and supporting documentation related to the project.				AC	AC = Termination of project or until all subsequent needs have been met.	CAUTION: Does not include audit projects (see Agency Item Number 03.004).		
01.025		Independence Statements and Proposed Outside Employment Requests	Forms or other documents used to ensure auditor independence.	3							
01.026	3.1.019	Project Evaluations and Performance Notes	Documentation used to evaluate employee performance on projects.	2						29 CFR §1620.32(c).	
02.001	1.1.010	Directives	Any document that officially initiates, rescinds, or amends general office procedures.	1			US				
02.002	1.1.019	Public Relations Records	News, press releases, or any public relations files maintained or issued by an agency. Includes print, electronic, audio, and audiovisual records.	2					R		
02.003	1.1.023	Organization Charts					US		A		

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Records Retention Schedule

02.004	1.1.058	Meeting Agenda and Minutes	Official agenda and minutes of the Legislative Audit Committee				PM		A	<p>ARCHIVES NOTE: Agency retains permanent record copy. The archival requirement will be met by sending a copy to the Archives and Information Services Division of TSLAC. Kept by legal counsel.</p> <p>CAUTION: This records series and item numbers 1.1.059, 1.1.060, 1.1.061, and 1.1.062 must be used for those state boards, committees, commissions, and councils, which by law or the biennial Appropriations Act, are administered by another state agency. These records and all others related to the functions of any of these dependent entities must be included in the records retention schedule of the administering agency.</p>		
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Records Retention Schedule

02.005	1.1.070	Agency Policies, and Procedures - Final	Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	3			AC	AC = Completion or termination of program, rules, policies, or procedures.	R	SEE ALSO Agency Rules, Policies and Procedures - Working Files, 1.1.071.		
02.006	1.1.071	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 individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	3			AC	AC = Completion or termination of program, rules, policies, or procedures.	R	SEE ALSO Records Series Item Number 1.1.070.		
03.001	1.1	"Permanent" files / Templates	Documentation that helps plan audits, including templates for future or recurring audits.				AV			Includes both electronic and paper documents.		
03.002	1.1	Temporary project materials (audits)	Documentation that is kept as transitory information until all legislative inquiries are considered complete.				AV					
03.003	1.1	Review Documentation	Classification-related documentation and other review documentation.	10			AC	AC=Date Report Published				

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03.004	1.1.002	Audit Work Papers	Documentation and legal opinions related to 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.	10			AC	AC = Publication or release of final audit findings.		The State Auditor's Office retains any copies of its audits performed on Texas state agencies. Attest documentation; Government Auditing Standards §§ 4.19-4.24; 6.20-6.26; 7.77-7.84 Following statutory requirement.	Texas Government Code §321.014.
03.005	1.1.002	SAO Published Reports					PM			Microfilm=1980-2001 Electronic=1995-current (original copy of microfilm stored at state records center).	
03.006	3.1.019	Peer Training Program Records	Records documenting the progress of new auditors.	2							29 CFR §1620.32(c).
04.001	1.1.004	Legislative Appropriations Requests	Including any supporting documentation created and/or used to justify and support legislative appropriations requests by an agency.	6			AC	AC = September 1 of odd-numbered calendar years.	A	ARCHIVES NOTE: The archival requirement is met by sending the required copies of the requests to the Texas State Publications Depository Program of TSLAC. Only copies of supporting documentation submitted to the Legislative Budget Board are archival.	

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04.002	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.	5			AC	AC = After termination of employee or after amendment, expiration, or termination of authorization, whichever is sooner.	SAO policy is to retain longer than minimum required by TSLAC.	
04.003	3.2.002	Employee Earnings Records		4						40 TAC §815.106(i).
04.004	3.2.003	Federal Tax Records	Includes 1099, W2, FICA, and other tax records.	4			AC	AC = Tax due date, date the claim is filed, or date tax is paid, whichever is later.		26 CFR §31.6001 - 1(e)(2).
04.005	3.2.004	Income Adjustment Authorizations	Used to make increases or decreases to employees' gross pay, FICA, retirement, or in the computation of taxes.	2					Human Resources keeps this after termination.	29 CFR §516.6(c).
04.006	3.2.005	W-4 Forms	Employer's copy of "Employees' Withholding Exemption Certificate."	5			AC	AC = Until superseded, obsolete, or upon separation of employee.	SAO policy is to retain longer than minimum required by TSLAC.	26 CFR §31.6001-1 (e)(2).
04.007	3.2.008	Direct Deposit Application/ Authorizations					US			
04.008	3.3.023	Reimbursable Activities, Requests and Authorizations to Engage in	Requests and authorizations for travel; participation in educational programs, workshops, or college classes; or for other work-related activities for which the expenses of the employee are defrayed or reimbursed.	3			FE			

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STATE OF TEXAS Records Retention Schedule

04.009	3.4.001	Accumulated Leave Adjustment Requests	Used to create employee leave balances, to transfer leave balances when an employee transfers positions, to adjust carry-over balances on August 31, to correct errors on leave accumulation, and to close out leave accounts on separated employees.	3			FE			
04.010	3.4.002	Leave Status Reports	Cumulative report that is issued each pay cycle and provides employee leave status information for each position.	3			FE			
04.011	3.4.003	Less Than Full-Time Worked Reports	Dates and hours.	4						40 TAC §815.106(i).
04.012	3.4.004	Overtime Authorizations		2						
04.013	3.4.005	Overtime Schedules		2						
04.014	3.4.006	Time Cards and Time Sheets		4						40 TAC §815.106(i).
04.015	3.4.007	Time Off and/or Sick Leave Requests		3			FE			
04.016	3.4.008	Sick Leave Pool Documentation	Requests submitted, approvals, number of hours transferred in and out, etc.	5			AC	AC = Termination of employment.	Keep consistent with ADA Documentation (1.1.056). SAO policy is to retain longer than minimum required by TSLAC.	
04.017	4.1.001	Accounts Payable Information		3			FE			

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04.018	4.1.002	Billing Detail		3			FE			CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.		
04.019	4.1.003	Canceled Checks/Stubs/Warrants/Drafts		3			FE					
04.020	4.1.004	Encumbrance Detail		3			FE					
04.021	4.1.005	Inventory and Other Cost Files	Production, job, labor, quotes, pricing, specifications, etc.	3			FE					
04.022	4.1.007	Transfers or Budget Revisions	Transfers or adjustment to budgets.	3			FE					
04.023	4.1.008	Electronic Fund Transfers	Direct Deposit registers.	3			FE					
04.024	4.2.001	Cash Deposit Vouchers	Cash deposit slips.	3			FE					
04.025	4.2.002	Cash Receipts	Includes receipts for fees (permits, licenses, renewals, etc.).	3			FE					
04.026	4.2.003	Daily Cash Receipts Logs		3			FE					
04.027	4.2.004	Encumbrance Vouchers	Orders, statements, change orders, etc.	3			FE					
04.028	4.2.005	Purchase Vouchers	Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc.	3			FE					
04.029	4.2.006	General Journal Vouchers		3			FE					
04.030	4.2.007	Expenditure Vouchers	Travel, payroll, etc.	3			FE					

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STATE OF TEXAS Records Retention Schedule

04.031	4.3.002	Receipts Journals or Registers		3			FE			
04.032	4.3.003	Expenditures Journals or Registers		3			FE			
04.033	4.4.001	General and Subsidiary Ledgers		3			FE			
04.034	4.4.002	Accounts Receivable Ledgers		3			FE			
04.035	4.4.003	Accounts Payable Ledgers		3			FE			
04.036	4.4.004	Employee Savings Bond Ledgers		3			FE			
04.037	4.5.001	Worksheets for Preparing Fiscal Reports		3			FE			
04.038	4.5.002	Internal Fiscal Management Reports	Includes agency monthly budget reports.	3			FE			
04.039	4.5.007	Uniform Statewide Accounting System (USAS) Reports – Daily					AC	AC = Receipt and reconciliation of monthly report.		
04.040	4.5.008	USAS Reports - Monthly					AC	AC = Receipt and reconciliation of annual report.		
04.041	4.5.009	USAS Reports - Annual		3			FE			
04.042	4.7.001	Accounting Policies and Procedures Manual		3			US			

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04.043	4.7.003	Returned Checks/Warrants/Drafts (Uncollectable)		3			AC	AC = After deemed uncollectable.			
04.044	4.7.004	Capital Asset Records		3			LA				
04.045	4.7.006	Comptroller Statements		3			FE				
04.046	4.7.007	Detail Chart of Accounts	One for all accounts in use for a fiscal year.	3			FE				
04.047	4.7.009	Fixed Asset Sequential Number Logs		3			US				
04.048	4.7.010	Long-Term Liability Records	Bonds, etc.	3			AC	AC = Retirement of debt.			
04.049	4.7.011	Texas Facilities Commission (TFC) Statements	Charge or bill statements received by agencies from the TFC for services provided.	3			FE				
04.050	4.7.012	Signature Authorizations	Signature cards or similar records establishing authority of an agency employee to initiate or authorize financial transactions on behalf of an agency.	3			AC	AC = US + FE			

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04.051	5.1.001	Contracts and Leases	Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence.	7			AC	AC = Expiration or termination of the instrument according to its terms.	SEE related item numbers 3.1.035 Performance Bonds and 5.3.007 Bid Documentation. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs.	Texas Government Code §441.1855.
04.052	5.1.004	Mail and Telecommunications Listings	Any mailing address, telephone or fax number, or e-mail address records maintained by an agency on its employees or on entities or persons it serves.				US			
04.053	5.1.005	Postage Records	Records and reports of postage expenses, including postal meter usage.	3			FE			
04.054	5.1.007	Requisitions for In-Agency or Inter-Agency Copy/Printing Service	Includes word processing and data processing.				AV			
04.055	5.1.010	Licenses and Permits for Non-vehicles	Does not include licenses and permits issued by an agency as part of its statutory responsibilities.	2			AC	AC = Expiration date of license or permit.		
04.056	5.1.011	Photocopier and Telefax Usage Logs and Reports					AV			

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04.057	5.1.012	Charge Schedules/Price Lists	Schedules of prices charged by an agency for services to the public or other agencies, including any documentation used to determine the charges.	3			US				
04.058	5.1.013	Insurance Policies	For vehicles, equipment, etc.	7			AC	AC = Expiration or termination of the policy according to its terms.			Texas Government Code §441.1855.
04.059	5.1.014	Office Procedures	Any internally distributed manual, guidelines, or similar records that establish standard office procedures for an agency; for example, agency style manuals, telephone protocols, mail room procedures, and print shop and photocopy ordering instructions.	1			US				
04.060	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							
04.061	5.1.017	Contract Log	List of agency contracts, leases, and agreements including general obligation, land lease, utilities, and construction contracts.	3			FE				
04.062	5.2.001	Appraisals - Building or Property					AV		R		

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04.063	5.2.003	Building Plans and Specifications (State Owned)	Includes architectural and engineering drawings, profiles, and blueprints.				LA		R	SEE ALSO item numbers 5.2.002 and 5.2.028. ARCHIVES NOTE: Archival review designation is for state-owned buildings only.
04.064	5.2.003	Building Plans and Specifications (Leased)	Includes architectural and engineering drawings, profiles, and blueprints.	2			AC	AC = Termination or cancellation of lease.		SEE ALSO item numbers 5.2.002 and 5.2.028.
04.065	5.2.004	Building Space Requests		1						
04.066	5.2.005	Calibration Records (Equipment or Instrument)		10						
04.067	5.2.006	Property Destruction, Certificates of		3			FE			
04.068	5.2.007	Damage Reports	Reports of damage to state property.	3			FE			
04.069	5.2.008	Equipment History File; Equipment Service Agreements	Agreements or contracts between the agency and equipment vendor to provide maintenance service for equipment. Includes requests for installation, moves, service, etc.; and service/repair logbooks, etc.	3			LA			
04.070	5.2.009	Equipment Inventory Detail Report Forms	Updates agency portion of the inventory listing and adds, changes, transfers, or deletes items from inventory.	3			FE			
04.071	5.2.010	Equipment Manuals					LA			
04.072	5.2.011	Equipment Warranties		1			AC	AC = Expiration of warranty.		

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04.073	5.2.012	Estimate Files (Supply and Repair Cost Estimates)		1						
04.074	5.2.014	Inventory - Annual Physical	Property, equipment, supply verification.	3			FE			
04.075	5.2.015	Inventory, Notices of Equipment Removed From		3			FE			
04.076	5.2.016	Inventory System Update Listings	Listing shows all additions, changes, deletions, and transfer times for the monthly processing period.				AC	AC = Transfer of information into annual listing.		
04.077	5.2.017	Lost and Stolen Property Reports		3			FE			
04.078	5.2.018	Quality Control Reports		2						
04.079	5.2.019	Service Orders	Agency copy of forms completed by mechanical service personnel for installation or repair. Includes billing code, service, labor, parts, and remarks.	1						
04.080	5.2.020	Supply Usage Records		1			FE			
04.081	5.2.024	Material Specifications		2			AC	AC = Material is no longer in the agency.		
04.082	5.2.025	Equipment Descriptions and Specifications		2			AC	AC = Equipment is no longer in the agency.		
04.083	5.2.027	Space Utilization Reports					AV			

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04.084	5.2.028	Building Construction Contract and Inspection Records	Building construction contracts, surety bonds, and inspection records.	10			LA		R	SEE ALSO item numbers 5.2.002 and 5.2.003.	
04.085	5.3.002	Freight Bills Paid		3			FE				
04.086	5.3.003	Freight Claims		2			AC	AC = Resolution of claim.			
04.087	5.3.004	Order - Acknowledgments					AV				
04.088	5.3.005	Packing Slips					AV				
04.089	5.3.007	Bid Documentation	Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, accepted and rejected bids, and bid tabulation/evaluations.	7			FE			CAUTION: If a formal written contract is the result of a successful bid or request for proposal, the successful bid or request for proposal and its supporting documentation must be retained for the same period as the contract. SEE item number 5.1.001 and 5.2.028.	Texas Government Code §441.1855
04.090	5.3.007	Bid Documentation - Withdrawn or Denied	Unsuccessful bids that do not meet agency submission requirements and are not included in bid evaluation process (e.g. withdrawn, missed submission deadline, incomplete submission, etc.).	2			AC	AC = Date of notification of denial or date of withdrawal, as applicable.			
04.091	5.3.008	Purchasing Logs	Log, register, etc., providing a record of purchase orders issued, orders received, and similar data on procurement status.	3			FE				

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04.092	5.3.009	Requests for Information	Requests for information preliminary to the procurement of goods or services by direct purchase or bid.				AC	AC = Decision not to proceed with the procurement.	CAUTION: If the request for information leads to request for proposal or bid, the request for information documentation should be retained in accordance with item number 5.3.007.	
04.093	5.4.003	Inspection Records	Fire, safety, and other inspection records of agency facilities and equipment.	3			AC	AC = Inspection, or date of the correction of the deficiency if the inspection report reveals a deficiency.	CAUTION: Does not include inspection reports of building construction. SEE item number 5.2.028.	
04.094	5.4.004	Fire Orders	Orders issued by Fire Marshal to correct deficiencies in compliance with the fire code.	3			AC	AC = Deficiency corrected.		
04.095	5.4.007	Hazardous Materials Training Records	Records of training given employees in an agency hazard communications program.	5						Texas Health and Safety Code §502.009(g).
04.096	5.4.008	Hazard Communication Plans		5			US			Texas Health and Safety Code §502.009(g).
04.097	5.4.009	Workplace Chemical Lists		30						Texas Health and Safety Code §502.005(d).
04.098	5.4.010	Material Safety Data Sheets					AC	AC = After sheets are updated or hazardous chemical no longer stored by agency, as applicable.		

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04.099	5.4.011	Visitor Control Registers	Logs, registers, or similar records documenting visitors to limited access or restricted areas of agency facilities.	3							
04.100	5.4.012	Security Access Records	Records relating to the issuance of keys, identification cards, building passes, passwords, signed statements, or similar instruments of access to agency or state facilities, equipment, or automated systems.	2			AC	AC = Until superseded, date of expiration, or date of termination, whichever is sooner.			
04.101	5.4.013	Disaster Preparedness and Recovery Plans					US				
04.102	5.5.001	Billing Detail - Telecommunications (Other Than TEX-AN)	In addition to summary detail, includes any accompanying detailed listing of long distance calls.	3			FE		SEE item number 5.5.006 for TEX-AN billing detail.		
04.103	5.5.002	Long Distance Telephone Logs	Long distance logs created by agencies for internal documentation purposes. Includes any similar logs created for long distance facsimile or electronic transmissions.				AV				
04.104	5.5.003	Station Activity Reports	Internal listing of incoming/outgoing telephone activity to individual telephone stations.				AV				
04.105	5.5.004	System Activity Reports	Internal listing of all incoming/outgoing agency telephone activity.				AV				

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04.106	5.5.006	Billing Detail - Telecommunications (TEX-AN)	In addition to summary detail, includes any accompanying detailed listing of long distance calls.	3			FE		The billing agency will maintain all long distance TEX-AN records and will provide each using agency its bill summary of centralized capitol complex telephone service without call detail records. For these bill summaries, SEE item number 4.7.011. SEE item number 5.5.001 for billing detail from carriers other than TEX-AN.		
04.107	5.5.007	Disputed Call Documentation	Documentation relating to disputed long distance calls, including documents evidencing repayment by employees for personal long distance use.	3			FE				
04.108	5.6.004	License and Driving Record Checks					AC	AC = Until superseded or until termination of employment.			
04.109	5.2.021	Surplus Property Sale Reports		3			FE				
04.110	5.2.022	Utility Usage Reports					AV				

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04.111	5.2.023	Year-to-Date Activity (Inventory Listing)	Shows additions, changes, transfers, and deletions of information within the inventory system. Data include agency, division, tag number, batch, document, transaction date, location, item code, description, date, and cost.	3			FE				
05.001	1.1	Investigations		8			AC	AC = Upon completion of investigation.			
05.002		Complaint Records - No State Funds Involved	Complaints received by the agency that do not involve state funds		1					Includes hotline complaints. CAUTION: If a complaint becomes the subject of an investigation, an audit, or litigation, it must be included in, and is subject to the minimum retention period of, that record series.	
05.003		Complaint Records - State Funds Involved	Complaints received by the agency that involve state funds	2			AC	AC = Resolution of the complaint.		Includes hotline complaints. CAUTION: If a complaint becomes the subject of an investigation, an audit, or litigation, it must be included in, and is subject to the minimum retention period of, that record series.	

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06.001	2.1.001	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.	CAUTION: Records management officers must be certain before assigning the retention period of AC to agency automated processing files that the files do not fall under records series listed elsewhere.	
06.002	2.1.002	Master Files	Relatively long-lived computer files containing organized and consistent sets of complete and accurate electronic records. Examples include, but are not limited to, data tables of relational databases used by applications or computer programs.				AC	AC = Completion of 3rd verification cycle, or audit completion confirming successful transaction updates, or required audit trail maintenance, or the ability to restore or migrate when errors are detected or when hardware or software changes occur.	CAUTION: Records management officers must be certain before assigning the retention period of AC to agency automated processing files that the files do not fall under records series listed elsewhere.	

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06.003	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.	CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.	13 TAC §6.94.
06.004	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.	Agency policy to keep record longer than state requirement. CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.	13 TAC §6.94.

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06.005	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 output specifications, and system flow charts; program descriptions and documentation such as program flowcharts, program maintenance logs, change notices, and other records that document modifications to computer programs; and data documentation necessary to access, retrieve, manipulate, and interpret data in an automated system such as a data element dictionary, file layout, code book or table, and other records that explain the meaning, purpose, structure, logical relationships, and origin of the data elements.				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 and read.	CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.	13 TAC §6.94.	
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06.006	2.1.010	Audit Trail Records	Files needed for electronic data audits such as files or reports showing transactions accepted, rejected, suspended, and/or processed; history files/tapes; records of on-line updates to application files or security logs.				AC	AC = All audit requirements have been met.			
06.007	2.2.001	System Monitoring Records	Electronic files or automated logs created to monitor computer systems such as print spool logs, console logs, tape activity logs, etc.				AV				
06.008	2.2.004	Computer Job Schedules and Reports	Schedules or similar records showing computer jobs to be run and other reports by computer operators or programmers of work performed.				AC	AC = 3 months or as long as it is determined there is a business need, whichever is longer.	Agency policy to keep record longer than state requirement.		
06.009	2.2.010	Data Processing Policies and Procedures	Manuals, guidelines, or similar documents establishing data processing policies and procedures in an agency in such areas as access and security, systems development, data retention and disposition, data ownership, production control, system back-up, etc.	3			US		CAUTION: Does not include technical documentation of procedures necessary for reading or processing of electronic records. SEE item number 2.1.009.		
06.010	2.2.011	Batch Data Entry Control Records	Forms and logs used to reconcile batches submitted for processing against batches received and processed.				AC	AC = When reconciliation confirmed.			

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06.011	2.2.012	Output Records for Computer Production	Reports showing transactions that were accepted, rejected, suspended, and/or processed.				AV			
06.012	2.2.013	Quality Assurance Records	Information verifying the quality of system, hardware, or software operations including records of errors or failures and the loss of data resulting from such failures, documentation of abnormal termination and of error free processing, checks of changes put into production, transaction histories, and other records needed as an audit trail to evaluate data accuracy.				AC	AC = No longer needed as an audit trail for any records modified.		
06.013	2.2.014	Internet Cookies	Data resident on hard drives that make use of user-specific information transmitted by the Web server onto the user's computer so that the information might be available for later access by itself or other servers.				AV		The disposal of Internet cookies need not be documented through destruction authorizations (1.2.001) or in records disposition logs (1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (1.2.014).	

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06.014	2.2.015	History Files - Web Sites	A record of the documents visited during an Internet session that allows users to access previously visited pages more quickly or to generate a record of usage of a state-owned computer.				AV			The disposal of history files need not be documented through destruction authorizations (1.2.001) or in records disposition logs (1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (1.2.014).	
06.015	2.2.016	Software Registrations, Warranties, and License Agreements		3			LA				
06.016		Help Desk Records	Help Desk tickets and logs				AV				
07.001	1.1.056	ADA (Americans with Disabilities Act) Documentation	Self evaluations and plans documenting compliance with the requirements of the Americans With Disabilities Act.	5			AC	AC = Purpose of record has been fulfilled.		SAO policy is to retain longer than minimum required by TSLAC.	28 CFR §35.105(c).
07.002	3.1.001	Applications for Employment - Not Hired	Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.	2							29 CFR §1602.31.

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07.003	3.1.002	Applications for Employment - Hired	Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.	5			AC	AC = Termination of employment.			
07.004	3.1.006	Employee Counseling Records	Notes, memoranda, or reports relating to the counseling of an employee for work-related, personal, or substance abuse problems. Usually maintained at the supervisory level except in those agencies with counseling staff.	5			AC	AC = Termination of employment.	SAO policy is to retain longer than minimum required by TSLAC.		
07.005	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	AC = Until superseded or termination of employment.	CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item number 3.2.001.		
07.006	3.1.012	Employment Opportunity Announcements	Internal or external announcements or advertisements of job openings, promotions, training programs, or opportunities for overtime.	5			AC	AC = Until obsolete.	SAO policy is to retain longer than minimum required by TSLAC.	29 CFR §1602.31.	

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07.007	3.1.014	Employment Selection Records	Includes notes of interviews with candidates, questions asked of applicants, audio and videotapes of job interviews, driving record and previous injury checks, pre-employment physical examinations, pre-employment drug screening test results, polygraph examination results; and all other records that document the selection process.	5			AC	AC = Hiring decision or termination of employment, whichever later.		Includes case studies done during interviews. CAUTION: Does not include criminal history checks. SEE item number 3.1.026. SAO policy is to retain longer than minimum required by TSLAC.	29 CFR §1602.31.
07.008	3.1.018	Grievance Records	Records relating to the review of employee grievances against personnel policies, working conditions, etc.	5			AC	AC = Final decision on the grievance.		CAUTION: Does not include formal complaints filed by an agency employee with the Equal Employment Office (EEO) of the U.S. Department of Labor. SEE item number 1.1.048. SAO policy is to retain longer than minimum required by TSLAC.	
07.009	3.1.019	Performance Appraisals	Annual performance evaluations.	5			AC	AC = termination of employment		SAO policy is to retain longer than minimum required by TSLAC.	29 CFR §1620.32(c).

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07.010	3.1.020	Personnel Corrective Action Documentation	Corrective actions are those actions that do not affect pay, status, or tenure and are imposed to correct or improve an employee's job performance.	5			AC	AC = Termination of employment.	CAUTION: If, during the retention period of this records series, any part of this series is used to document and support personnel disciplinary action under item number 3.1.021, all documentation from this series used to support disciplinary action must be retained for the minimum retention period described by item number 3.1.021. SAO policy is to retain longer than minimum required by TSLAC.		
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07.011	3.1.021	Personnel Disciplinary Action Documentation	Disciplinary actions are those actions that 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.	5			AC	AC = Termination of employment.			
07.012	3.1.022	Personnel Information or Action Forms	Forms or similar records used to create or change information concerning the records of an employee including pay grade, position classification, employee number, evaluation date, and termination of employment.	5			AC	AC = Termination of employment.	SAO policy is to retain longer than minimum required by TSLAC.	29 CFR §1602.31.	
07.013	3.1.023	Position/Job Descriptions	Job descriptions, including all associated task or skill statements, for positions in an agency.	5			AC	AC = Until superseded or job eliminated.	SAO policy is to retain longer than minimum required by TSLAC.	40 TAC §815.106(i).	

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Archival Codes (Field 10)

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07.014	3.1.026	Criminal History Checks	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.	CAUTION: An agency that is authorized to obtain a criminal history record information from DPS must refer to its agency's legislation or see Subchapter F, Chapter 411 of the Texas Government Code for appropriate retention and use of this information.	
07.015	3.1.027	Training and Educational Achievement Records (Individual)	Certificates of completion, transcripts, test scores, or similar records documenting the training, testing, or continuing education achievements of an employee.	5			AC	AC = Termination of employment.		

Retention Codes (Field 8)

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AV – Administratively valuable

CE – Calendar year end
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07.016	3.1.029	Employment Eligibility, Documentation or Verification of Federal Reporting Form (INS I-9).		5			AC	AC = Termination of employment.	CAUTION: Federal regulation requires that INS 1-9 forms be retained for 3 years from date of hire or 1 year after separation of the employee, whichever is later. Agencies should make certain that the INS I-9 forms for employees who terminate from an agency less than 3 years from the date of hire are kept for the 3-year retention period. SAO policy is to retain longer than minimum required by TSLAC.	8 CFR §274a.2(b)(2)(i)(A) and (c)(2).
07.017	3.1.031	Employee Benefits - Other than Insurance	Agency copies of information relating to the selection of available benefit options other than insurance.	5			AC	AC = Until superseded or termination of employment.	CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item number 3.2.001. SAO policy is to retain longer than minimum required by TSLAC.	

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07.018	3.1.034	Resumes - Unsolicited	Retention period applies if an agency replies to the sender of a resume that it will be kept on file should future job openings occur.				AV		SEE item number 3.1.014 for resumes, whether solicited or unsolicited, that are used in any way in the employment selection process.		
07.019	3.1.038	Public Access Option Form	Form completed and signed by employee or official, or former employee or official, electing to keep home address, home telephone number, Social Security number, and family information open or confidential under the Public Information Act, Texas Government Code §552.024.				US		SEE item number 3.3.011.		
07.020	3.2.007	Unemployment Compensation Records		5			AC	AC = Settled.			

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07.021	3.2.009	State Deferred Compensation Records		5			AC	AC = All accounts with a vendor or vendors for the individual participant have been closed.		For instructions regarding the determination of the closure of accounts and for additional information regarding the retention period, see the most current edition of the <i>Benefits Coordinator Reference Manual</i> issued by the Employees Retirement System of Texas. Note: Records no longer kept for new employees. Information is now in electronic form.		
07.022	3.2.010	Human Resources Information System (HRIS) Reports	Includes supporting documentation.	5			AC	AC = After reports are completed.		SAO policy is to retain longer than minimum required by TSLAC.		
07.023	3.3.010	Labor Statistics Reports	Reports providing statistical information on labor force.	3						Data pulled from the statewide system and confirmed by Human Resources.		
07.024	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.	75			AC	AC = Termination of employment.		Kept in internal HRIS. See item number 3.1.038.		
07.025	3.3.015	Positions/Job Classification Review File	Records relating to review and monitoring of job classifications within an agency.	3			US					

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07.026	3.3.024	Personnel Policies and Procedures	Any internally distributed manuals, guidelines, or similar records that define agencywide policies and procedures concerning the personnel of an agency.	3			US				
07.027	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 vacancies, analyses of turnover rates, and seasonality of employment, etc.	3			US				
07.028	3.3.027	Aptitude and Skills Tests	Aptitude or skills tests required of job applicants or of current personnel to qualify for promotion or transfer.	5			AC	AC = Until obsolete.		CAUTION: One copy of each different test (different in terms of either questions or administration procedures) should be retained for the period indicated. SAO policy is to retain longer than minimum required by TSLAC.	29 CFR §1602.31.
07.029	3.3.028	Aptitude and Skills Tests (Test Papers)	Aptitude and skills test papers of job applicants or of current personnel taking a test to qualify for promotion or transfer.	5			AC	AC = Until obsolete		SAO policy is to retain longer than minimum required by TSLAC.	29 CFR §1602.31.

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07.030	3.3.029	Aptitude and Skills Tests (Validation Records)	Records of the validation of aptitude and skills tests.	5			AC	AC = Until obsolete		SAO policy is to retain longer than minimum required by TSLAC.	29 CFR §1602.31.
07.031	3.3.031	EEO Reports and Supporting Documentation	Includes documentation used to complete EEO reports.	5						From External HRIS. SAO policy is to retain longer than minimum required by TSLAC.	29 CFR §§1602.32, 1602.39, 1602.41, 1602.48, and 1602.50.
07.032	3.3.032	Equal Pay Records	Reports, studies, aggregated or summary data, and similar documentation compiled to monitor and demonstrate compliance with the federal Equal Pay Act.	5						SAO policy is to retain longer than minimum required by TSLAC.	29 CFR §1620.32.
07.033	4.7.005	Claim Files		3			AC	AC = Resolution of claim.			
07.034	5.4.001	Accident Reports and Associated Documentation	Accident or occupational disease reports (by supervisors and employees) and other associated reports required to be submitted to the Texas Department of Insurance or its predecessors or maintained internally on accident frequency.	5			CE			The Texas Department of Insurance retains copies of the reports submitted to it for 50 years.	29 CFR §1904.33.
07.035	5.6.009	Parking Permits or Assignments					US				

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08.001	1.1.014	Legal Opinions and Advice	From agency legal counsel or the Attorney General, including any requests eliciting the opinions.				AV		R	CAUTION: Does not include legal opinions or advice rendered on a matter in litigation or with regard to pending litigation. SEE item number 1.1.048. Opinions that become part of audit documentation fall under 1.1.002 (03.004).		
08.002	1.1	Public Information Requests	Includes all correspondence and documentation relating to requests for records that are furnished to the public and those that are exempt under the Public Information Act (Chapter 552, Texas Government Code).	2			AC	AC = Date request fulfilled or notification that records are exempt.		Agency policy to keep this longer than state requirement.		
08.003	1.1.026	Texas Register Submissions	Copies of open meetings notices, or any other documents required by law to be submitted to the <i>Texas Register</i> .	1			AC	AC = Date of publication in the <i>Texas Register</i> .				

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08.004	1.1.048	Litigation Files	Records created by or on behalf of an agency in anticipation of or in the adjudication of a lawsuit.	1			AC	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	ARCHIVES NOTE: Cases that set legal precedent or exhibit historical value will be evaluated by the Archives and Information Services Division of TSLAC for archival preservation.	
09.001	3.1.039	Ombudsman Records	Consultation records, notes, letters, memos, emails, reports, and other documentation.				AC	AC = Final decision or matter closed.		CAUTION: Does not include formal complaint filed with EEO. If matter becomes a grievance or the subject of counseling or litigation, or employee is subject to disciplinary action, the records are subject to retention in the appropriate records series. SEE 1.1.048, 3.1.006, 3.1.018, 3.1.020, and 3.1.021.	
10.001	1.1	Audit delegation files		7			AC	AC = Date of audit delegation letter.		Includes delegated audit reports.	
10.002		Risk Assessment and Audit Plan Records	Records used in the creation of the agency's annual audit plan. Includes final and draft audit plans and supporting documentation.	10							

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10.003	1.1.027	Proposed Legislation/Legislative Communication	Drafts of proposed legislation and related correspondence.				AV		Includes cost estimates, fiscal notes, and impact statements for the Legislative Budget Board. Also includes legislative inquiries, requests for audits and proposed legislations.	
11.001		State Employee Exit Interview Survey Responses		5			FE			Item described in Texas Government Code §651.007.
12.001	3.3.030	Training Materials and Training Administration Records	Instructional materials and related administrative records associated with training provided by the SAO.	5			FE		CAUTION: Does not include hazardous material training records. SEE item number 5.4.007.	22 TAC §523.143
13.001	1.2.001	Destruction Authorizations	Agency-level documents authorizing final disposition of records under a certified records retention schedule.	3			FE			
13.002	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 designated by the State Records Administrator.				US		Original is retained by the State and Local Records Management Division at TSLAC.	

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13.003	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 of legal custody.	2			AC	AC = Date of authorization for destruction, permanent transfer from storage, or transfer to the Archives and Information Services Division at TSLAC by the agency records management officer.		
13.004	1.2.008	Request for Authority to Dispose of State Records (RMD 102)	Agency copy.	3			FE		Original is retained by the State and Local Records Management Division at TSLAC.	
13.005	1.2.010	Records Disposition Logs	Logs or similar records listing records destroyed or transferred to the Archives and Information Services Division at TSLAC showing records series title, dates of records, and date destroyed or transferred.	10						
13.006	1.2.011	Record Center Storage Approval Forms (RMD 106)	Agency copy.				US			
13.007	1.2.012	Records Inventory Worksheets					US			
13.008	1.2.013	Records Control Locator Aids	Includes indexes, card files, shelf lists, registers, guides, etc.				AC	AC = When control aid is updated, revised, or no longer needed.	CAUTION: These records must carry the same retention period and archival code of the records they support.	

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13.009	1.2.014	Records Management Plans	Records management plans and similar records that establish the policies and procedures under which records and information are managed in an agency.	1			US				
13.01	1.2.015	Disaster Recovery Service Transmittals (RMD 109)	Also includes documentation for disaster recovery services provided by other entities.	1			FE				
13.011	1.2.016	Disaster Recovery Service Approval Form (RMD 113)	Agency copy of form.				AC	AC = Until superseded or termination of service.			
13.012		Circulation Records	Records documenting the circulation of library or file room materials to individual borrowers.				AV				
13.013		Received Reports	Reports submitted to the agency as required by statute or agreement from other state agencies or other organizations.	10							

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