

June 3, 2022



Michael Reagor
Senior Audit Research Specialist
1501 N. Congress #3.325
Austin, TX 78701

Dear Mr. Reagor,

Your agency's records retention schedule is approved for use as of **6/2/2022**, and it may be accessed on our website at <https://www.tsl.texas.gov/slrn/state/schedules>. Please ensure that all old copies of the schedule are superseded with this certified copy.

Lorenzo de Zavala
State Archives and
Library Building

This approved retention schedule provides you with continuing authorization to dispose of agency records according to its terms. Please note that state rules (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.

1201 Brazos Street
Austin, Texas
78701

Each agency schedule must be reviewed, updated, and submitted for recertification according to a timeline established by the Texas State Library and Archives Commission. Your next recertification is scheduled for **June 2027**.

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

During a certification period, changes may need to be made to your schedule. State rules (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:

www.tsl.texas.gov

Commission Chair
Martha Wong

Brianna Cochran
(512) 463-5448
bcochran@tsl.texas.gov

Members

David C. Garza
F. Lynwood Givens
David Iglesias
Arthur T. Mann
Bradley S. Tegeler
Darryl Tocker

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

Sincerely,

A handwritten signature in blue ink, appearing to read "Craig Kelso".

Craig Kelso
Director and State Records Administrator

Director and Librarian
Gloria Meraz

cc: Agency head

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 02/07/2022

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 Not Required at This Time

Name (Print or type)

Date

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

Signature Gloria Merola

Name (Print or type) Gloria Merola

Date 6-2-2022

Cert/Recert No. 10 Amendment No.

CAUTION

A state record with an expired retention period 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 with a retention period that 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.

Amendment Note: If this schedule is amended at any point after certification, updated records series will be indicated by an asterisk (*) preceding the Agency Item Number (AIN).

State and Local Records Management Division
Texas State Library and Archives Commission
(Rev. 7/20)





STATE OF TEXAS
Records Retention Schedule

SLR 105
 Rev. 2021-07

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
 E – Exempt from archival review and transfer

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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				
01.001	1.1.007	Correspondence – Administrative	Incoming/outgoing and internal leadership, supervisory, managerial, executive, administrative, substantive, and other high-level correspondence in any media, including electronic communication, 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.	
01.002	1.1.008	Correspondence – General	Non-administrative incoming/outgoing and internal correspondence, in any media, including electronic communication, 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.	



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01.003	1.1.013	Calendars, Appointment, and Itinerary Records	Calendars, appointment books or programs and scheduling, or itinerary records maintained by staff during business hours that document appointments, itineraries, and other activities of agency officials or employees.	CE	1				R	ARCHIVES 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. 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 Attorney General.	
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.	AC	3			AC = Final disposition of summary report, or date of decision not to produce a report, as applicable.		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).	



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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	2			AC = End of event, until superseded, or obsolete.	R	ARCHIVES NOTE: Only speeches, papers, and presentations given by or on behalf of executive staff, board or commission members, division directors and program heads require archival review.	
01.006	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 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.	AC				AC = Purpose of record has been fulfilled.		CAUTION: Records management officers should make certain records 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 (item number 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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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.		3				R	See item number 1.1.065 for raw data used to produce reports. ARCHIVES NOTE: Reports are archival when they deal with significant aspects of the agency's programs.	
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						See item number 1.1.067 for reports produced from raw data. 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						



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01.012	1.2.003	Forms History File	Master versions of all forms used internally and externally by the agency, including subsequent revisions to an agency form or any associated design or design modification requests.	AC	2			AC = Until superseded or use of form is discontinued.			
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.	AC	2			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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01.014	1.3.002	Publication Development Files	Physical and digital development and design files used to create State Publications, including but not limited to background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV					R	See item number 1.3.001 for final State Publications created from development files. ARCHIVES NOTE: Successive and substantive drafts of major publications may be archival. Major is defined by both the publication's authorship and its impact on Texas and Texans. Original artwork, including photo prints and negatives that have significant value as evidence of agency programs as well as the potential for re-use, may be archival.	
01.015	1.2.013	Records Access and Locator Aids	Documentation used to provide and improve access to records. Includes indexes, card files, shelf lists, registers, guides, and other finding aids.	AC				AC = When aid is superseded, or no longer needed because associated 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.	AV							
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.	US	3						



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01.019	4.5.003	Annual Financial Reports	Annual Financial Reports (AFR) required by the General Appropriations Act (100 Day Report).	AC	6			AC = September 1 of odd-numbered calendar years.		ARCHIVES NOTE: The final version of Annual Financial Reports must be submitted to the Texas State Publications Depository Program per 13 TAC 3.3(a)(2)(a). Working files and related documentation used in creating the final plan are not subject to archival review and may be disposed of at the expiration of the retention period. 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.	
01.021	4.9.001	Annual Operating Budget	Includes encumbrances and documentation about budget transfers and revisions, as well as detail charts of accounts.	FE	3						



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01.022	3.1.037	Employee Recognition Records	Awards, incentives, tenure, etc.	AC	5			AC = Termination of employment.			
01.023	5.4.002	Evacuation Plans	Plans for evacuation of agency facilities in case of emergency.	US							
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) or projects relating to planning new or redefined programs, services, or projects of the agency (see agency item number 01.030).	
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).
01.027	3.1.041	Employee Acknowledgement and Agreement Forms	Agreements between employee and agency authorizing certain actions, including acknowledgement forms, telecommuting agreements, outside/secondary employment authorizations, or other documentation that show proof of receipt and awareness of and adherence to agency policies and procedures.	AC	2			AC = Until superseded, obsolete, or date of separation, as applicable.			



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01.028	1.1.077	Release of Records Documentation	Records that document the release of records or information through any method other than those listed elsewhere in this schedule (including employment verification).	AC				AC = Date records released.		See agency item number 08.002 for records released under the Public Information Act. See item number 1.1.076 for records produced for a subpoena. See item number 1.1.048 for records produced for litigation. See agency item number 10.003 for records provided to members of the Legislature or to legislative committees. CAUTION: Some records releases may require longer retention period. Agencies must determine if longer retention period is required based on any federal or state statutes or regulations that apply to the agency's functions. Agency legal staff should be consulted.	
01.029		Disclosure Statement for Outside Financial Advisors and Service Providers	Disclosure statements for outside financial advisors and services providers as required by Chapter 2263, Texas Government Code.		5						
01.030	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 neither included in nor 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	ARCHIVES NOTE: Data processing planning records are not archival.	



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02.001	1.1.010	Directives	Any document that officially initiates, rescinds, or amends general office procedures.	US	1						
02.002	1.1.019	Public Relations Records	News, press releases, marketing files and collateral, 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	Charts or diagrams that show the structure of an agency and the relationships and relative ranks of its departments and job positions.	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.	



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					Years	Months	Days				
02.004	1.1.058	Meeting Agenda and Minutes	Official agenda and minutes of the Legislative Audit Committee	PM					A	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. CAUTION: This records series and item numbers 1.1.060 and 1.1.061 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.	
02.005	1.1.070	Agency Policies and Procedures	Manuals, guidelines, or similar records distributed internally for the use of employees that sets out the policies and procedures that govern an agency's programs, services, or projects. Includes working files and related documentation used in creating rules, policies, and procedures.	AC	3			AC = Until superseded, or termination of program, policies, or procedures, whichever applicable.	R	ARCHIVES NOTE: Working files and related documentation used in creating the final rules, policies, and procedures, are not subject to archival requirement and may be disposed of at the expiration of the retention period.	



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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 Material (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.	AC	10			AC = Date report published.			
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.	AC	10			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							
03.006	3.1.019	Peer Training Program Records	Records documenting the progress of new auditors.		2						29 CFR §1620.32(c).



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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.	AC	6			AC = September 1 of odd-numbered calendar years.		ARCHIVES NOTE: The final version of Legislative Appropriation Requests must be submitted to the Texas State Publications Depository Program per 13 TAC 3.3(a)(3)(A). Working files and related documentation used in creating the final plan are not subject to archival review and may be disposed of at the expiration of the retention period.	
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.	AC	5			AC = After termination of employment or after amendment, expiration, or termination of authorization, whichever sooner.		SAO policy is to retain longer than minimum required by TSLAC.	
04.003	3.2.002	Employee Earnings Records	Payroll records and registers documenting employee earnings, wages, and pay. This may include but is not limited to payroll input records, summary statements, payroll vouchers, payroll detail sheets, and payroll history.		4						40 TAC §815.106(i).
04.004	3.2.003	Federal Tax Records	Includes 1099, W2, FICA, and other tax records.	AC	4			AC = Tax due date, date the claim is filed, or date tax is paid, whichever is later.			26 CFR §31.6001 - 1(e)(2).



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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."	AC	5			AC = Until superseded, obsolete, or termination of employment.		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	Forms used to deposit employee's earnings into a specified personal account.	AC				AC = Until superseded, cancelled, or last payment deposited after termination of employment, whichever applicable.			
04.008	3.3.023	Reimbursable Activity Records	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.	FE	3						
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.	FE	3						
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.	FE	3						



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04.012	3.4.004	Overtime Schedules and Authorizations	Records created to schedule time worked by employees outside of or in addition to their regular working hours, including approval authorizations.		2					CAUTION: Only includes overtime schedules and authorizations. See item number 3.4.006 for timekeeping records.	
04.014	3.4.006	Time and Attendance Records	Records documenting individual employee's hours worked, including work schedules and documentation evidencing adherence to or deviation from normal hours for those employees working on fixed schedules.		4						40 TAC §815.106(i).
04.015	3.4.007	Time Off and/or Sick Leave Requests	Requests and authorizations for vacation, compensatory, sick, Family and Medical Leave Act (FMLA), sick pool leave, and other types of authorized leave, and supporting documentation.	FE	3						Government Code, Section 661.152(d); 29 CFR 825.500(b).
04.016	3.4.008	Sick Leave Pool Documentation	Requests submitted, approvals, number of hours transferred in and out, etc.	AC	5			AC = Termination of employment.		Keep consistent with ADA Documentation (1.1.056). SAO policy is to retain longer than minimum required by TSLAC.	



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04.017	4.1.001	Accounts Payable Information	Claims; invoices; statements; copies of checks and purchase orders; expenditure authorizations; ledgers; encumbrance, purchase, general journal, expenditure, and special vouchers; and similar records that serve to document disbursements, including those documenting claims for and reimbursement to employees for travel and other expenses.	FE	3						
04.018	4.1.009	Accounts Receivable Information	Bill copies or stubs, statements, billing registers, account cards, deposit warrants, cash receipts, credit card receipts, receipts books, cash transfers, daily cash reports, reconciliations, general journal vouchers, special vouchers, and similar records that serve to document money owed to or received by a state agency and its collection or receipt.	FE	3						
04.019	4.8.001	Banking Records	Bank statements, credit card statements, cancelled checks, check registers, deposit slips, debit and credit notices, reconciliations, and other banking related records.	FE	3						



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04.038	4.5.002	Fiscal Management Reports	Internal and external periodic fiscal management reports and associated worksheets, including federal financial reports, salary reports, HUB reports, investment performance reports, etc.	FE	5					CAUTION: This series does not include fiscal reports created to fulfill grant requirements. See item number 4.7.008.	
04.039	4.5.007	USAS Reports – Daily/Monthly	Periodic reports compiled from information entered into the Uniform Statewide Accounting System (USAS).	AC				AC = Receipt and reconciliation of annual report.			
04.041	4.5.009	USAS Reports – Annual	Yearly report compiled from information entered into the Uniform Statewide Accounting System (USAS).	FE	3						
04.042	4.7.001	Accounting Policies and Procedures Manual	Records documenting the internal and external procedural requirements with respect to the accounting department of a state agency.	US	3						
04.043	4.7.003	Uncollectible Accounts	Records of accounts deemed uncollectible, including write-off authorizations and returned checks, warrants, and drafts.	AC	3			AC = After deemed uncollectable.			



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04.044	4.7.004	Capital Asset Records	Documentation relating to the capital and fixed assets of a state agency, including equipment or property history cards containing data on initial cost, depreciation schedules or summaries used for capital outlay budgeting, and property sale, auction, or disposal records of agency owned equipment and property.	LA	3						
04.048	4.7.010	Long-Term Liability Records	Records documenting financial obligations of a state agency that are not payable within one year of the date of the balance sheet, including debentures, loans, deferred tax liabilities, bonds, and pension obligations.	AC	3			AC = Retirement of debt.			
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.	AC	4			AC = Until superseded, date of expiration, or termination of employee, whichever sooner.			
04.051	5.1.001	Contract Administration Files	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.	AC	7			AC = Expiration or termination of the instrument according to its terms.	See related item number 5.3.007a/b/c for bid documentation. See item number 5.2.028 for building construction contracts. See item number 5.1.017 for contract logs.	Texas Government Code §441.1855.	



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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.	FE	3						
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	Licenses and permits obtained from external agencies or organizations in order to perform operations.	AC	2			AC = Expiration date of license or permit.		CAUTION: Does not include licenses and permits issued by an agency as part of its statutory responsibilities.	
04.056	5.1.011	Photocopier and Telefax Usage Logs and Reports	Registers or logs of print copies and fax transmissions made by user or in total.	AV							
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.	US	3						
04.058	5.1.013	Insurance Policies	Liability, theft, fire, health, life, automobile, and other policies for government property and personnel including supporting documentation relevant to the implementation, modification, renewal, or replacement of policies.	AC	7			AC = Expiration or termination of the policy according to its terms.			Texas Government Code §441.1855.



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04.059	5.1.014	Office Procedures	Any internally distributed manual, guidelines, or similar records that establish standard office procedures for an agency, e.g. agency style manuals, telephone protocols, mail room procedures, and print shop and photocopy ordering instructions.	US	1						
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.	FE	3						
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.	
04.065	5.2.004	Building Space Requests	Records documenting building space requests and approvals. Information on request forms may include but is not limited to: the building and room; the reason for the change; parties involved in the request; date of request and approval.		1						



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04.067	5.2.006	Inventory and Property Control Records	Records documenting the inventorying, maintenance, usage, and disposal of supplies, equipment, and property of a state agency. Includes lost, stolen, and damage reports.	FE	3					See item number 5.2.008 for the maintenance logs of individual pieces of equipment.	
04.069	5.2.008	Inspection, Repair, and Maintenance Records – Equipment	Equipment history file, which may include logbooks and requests for installation, moves, service, repair, etc.	LA	3					For service agreements or contracts related to equipment repairs and service, retain in accordance with item number 5.1.001a/b. For vehicle maintenance records, see item number 5.6.003.	
04.071	5.2.010	Equipment Manuals		LA							
04.072	5.2.011	Equipment Warranties		AC	1			AC = Expiration of warranty.			
04.073	5.2.012	Estimate Files (Supply and Repair Cost Estimates)	Quotes for minor construction and repair projects and supplies. Includes supporting documentation, as applicable.		1						
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.		See item number 5.2.006 for annual inventory listing.	
04.078	5.2.018	Quality Control Reports	Documentation and reporting on adherence to procedures that ensure quality of a process, product, or service.		2					See item number 2.2.013 for quality control records related to IT procedures.	
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						



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04.081	5.2.024	Equipment Descriptions and Material Specifications	Equipment and material descriptions and specifications that may include but are not limited to detailed descriptions; lists of raw materials and ingredients; physical characteristics of items; special handling procedures; or technical drawings.	AC	2			AC = Equipment or material is no longer in the agency.			
04.083	5.2.027	Space Utilization Reports	Reports summarizing efficiency of facility space utilization, which may include data on room usage, demand, allocation, and capacity.	AV							
04.084	5.2.028	Building Construction Contract and Inspection Records	Building construction contracts, surety bonds, and inspection records.	LA	10				R	SEE ALSO item numbers 5.2.002 and 5.2.003.	
04.086	5.3.003	Freight Claims	Freight or cargo claims against carrier for damage or loss to a shipment.	AC	2			AC = Resolution of claim.			43 TAC 218.61(d); 49 USC 14706(e).
04.087	5.3.004	Shipping Information	Shipping information, including order acknowledgements, packing slips, and related documentation.	AV						CAUTION: Some shipping information may require longer retention period. State agencies must determine if longer retention period is required based on the type of materials shipped to or from their agency.	
04.089	5.3.007 a	Bid Documentation	Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, accepted and rejected bids, and bid tabulation/evaluations.	AC	7			AC = Expiration or termination of the instrument according to its terms or decision not to proceed with the bid.			Texas Government Code §441.1855



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04.090	5.3.007c	Bid Documentation – Invalid Bids	Invalid 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.)	AC	2			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.	FE	3						
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.		See agency item number 08.002 for public information requests. 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, including orders issued by inspectors to correct deficiencies in compliance with any code or regulations.	AC	3			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.	
04.095	5.4.007	Hazardous Materials Training Records	Records of training given to employees in an agency hazard communications program. May include but is not limited to date of class, roster of attendees, subjects covered, and instructors.		5					See item number 3.1.027 for individual employee training records.	Texas Health and Safety Code §502.009(g).



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04.096	5.4.008	Hazard Communication Plans	Plan that provides information to employees about the hazardous chemicals to which they may be exposed to in their workplace.	US	5						Texas Health and Safety Code §502.009(g).
04.097	5.4.009	Workplace Chemical Lists	List of each hazardous chemical normally present in the workplace.		30						Texas Health and Safety Code §502.005(d).
04.098	5.4.010	Material Safety Data Sheets	Safety Data Sheets (SDS) that list information relating to occupational safety and health for the use of various substances and products.	AC				AC = After sheets are updated or hazardous chemical no longer stored by agency, as applicable.			29 CFR 1910.1020 (d)(1)(ii)(B).
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.	AC	2			AC = Until superseded, date of expiration, or date of termination, whichever is sooner.			
04.101	5.4.013	Continuity of Operations Plans (COOP)	Plans developed (per Texas Labor Code, 412.054) to mitigate the damage of potential events that could endanger an agency's ability to function. Includes disaster preparedness, response, and recovery plans.	US						See item number 5.4.017 for records related to responding or recovering from an emergency.	



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04.103	5.5.002	Telephone Activity Records	Telephone logs created for internal documentation purposes; station activity reports of internal listings of incoming/outgoing telephone activity to individual telephone stations; operator call transfers; summary detail reports; and system activity reports of internal listings of all incoming/ outgoing agency telephone activity.	AV						See item number 4.1.001 for telephone bills.	
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.	AC	3			AC = End of fiscal year in which dispute resolved or repaid.			
04.108	5.6.004	License and Driving Record Checks		AC				AC = Until superseded or until termination of employment.			
04.110	5.2.022	Utility Usage Reports	Any type of usage report or log used to monitor utilities such as gas, electric, water, etc.	AV						CAUTION: Does not include utility usage reports for agencies that operate their own utilities.	
05.001		Investigations		AC	8			AC = Upon completion of investigation.			



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05.002	1.1.057	Complaint Records – No State Nexus	Complaints received that do not constitute illegal acts or improprieties involving entities that receive funds from the state.				14			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 record series 1.1.048.	
05.003	1.1.006	Complaint Records – State Nexus Present	Complaints received that constitute illegal acts or improprieties involving entities that receive funds from the state.	AC	2			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.	
06.002	2.1.002	Master Files and Application Data	Relatively long-lived computer files containing organized and consistent sets of complete and accurate electronic records and associated processing files. 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.		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	Agency-developed automated software applications, operating system files, and associated processing files, including job control language, programs, applications, scripts, 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, equipment control systems, and associated processing files.	AC				AC = Until electronic records are transferred to and made usable in a new hardware environment or there are no electronic records being retained to meet an approved retention period that require the hardware to be retrieved and read.		CAUTION: 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 electronic records; to document modifications to computer programs; to access, retrieve, manipulate, and interpret data in an automated system; and allow for their timely, authorized disposition. Records include but are not limited to: user guides, system or sub-system definitions, system specifications, input and output specifications, system flow charts, program maintenance logs, change notices, data element dictionaries, file layouts, code books or tables, 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.
06.006	2.1.010	Audit Trail Records	Files needed for electronic data audits. Records include but are not limited to: reports showing transactions accepted, rejected, suspended, and/or processed; history files or tapes; records of updates to application files; and security logs.	AC				AC = All audit requirements have been met.			



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06.007	2.2.001	System Monitoring Records	Hardware and software components for monitoring agency's computer system resources and performance.	AV						The disposal of monitoring records that are automatically overwritten need not be documented through destruction authorizations (item number 1.2.001) or in records disposition logs (item number 1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (item number 1.2.014).	
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.	US	3					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	Data Input Documents	Forms and logs used to enter and reconcile data sets submitted for processing.	AC				AC = Data entered into applicable system and, if required, verified.			
06.011	2.2	Output Records for Computer Production	Reports showing transactions that were accepted, rejected, suspended, and/or processed.	AV							



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06.012	2.2.013	Quality Assurance Records	Information verifying the quality of system, hardware, or software operations. Records include but are not limited to: 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.		For quality control records related to non-IT procedures, see item number 5.2.018.	
06.013	2.2.014	Internet Browser Files	A record of web pages visited during an internet session, including data files of user-specific information created by the webserver, 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 internet history records need not be documented through destruction authorizations (item number 1.2.001) or in records disposition logs (item number 1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (item number 1.2.014).	



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06.015	2.2.016	Software Registrations, Warranties, and License Agreements	Records documenting the registration and licensing of a software application to activate the software for legal use by the end users of a state agency, along with warranties providing that the software will perform in accordance with functional specifications.	LA	3						
06.016	2.2.017	Help Desk Records	Records documenting the request for and response to help desk tickets received by divisions or units, such as information technology.	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.	AC	5			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.	AC	2			AC = Date of the making of the record or the personnel action involved, whichever occurs later.		CAUTION: Does not include ADA Accommodation Requests. See item number 3.1.042.	29 CFR §1602.31.
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.	AC	5			AC = Termination of employment.			



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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.	AC	5			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.	AC	5			AC = Until obsolete.		SAO policy is to retain longer than minimum required by TSLAC.	29 CFR §1602.31.
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; polygraph examination results; and all other records that document the selection process, except for those noted in Remarks.	AC	5			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.



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07.008	3.1.018	Grievance Records	Records relating to the review of employee grievances or complaints against personnel policies, working conditions, etc.	AC	5			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.	AC	5			AC = termination of employment		SAO policy is to retain longer than minimum required by TSLAC.	29 CFR §1620.32(c).
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.	AC	5			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.	AC	5			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.	AC	5			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.	AC	5			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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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, certifications, licenses, transcripts, test scores, or similar records documenting the training, testing, certification, licensing, or continuing education achievements of an employee.	AC	5			AC = Termination of employment.			
07.016	3.1.029	Employment Eligibility Documentation	Federal reporting form (Form I-9).	AC	5			AC = Termination of employment.		SAO policy is to retain longer than minimum required by TSLAC.	8 CFR §274a.2(b)(2)(i)(A) and (c)(2).
07.017	3.1.011	Employee Benefits – Other than Insurance	Agency copies of information relating to the selection of available benefit options other than insurance.	AC	5			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 Records	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, Section 552.024.	US						CAUTION: Most recent public access election information must be kept as long as the former employee verification records. SEE item number 3.3.011.	
07.020	3.2.007	Unemployment Compensation Records	Records and documentation relating to unemployment compensation claims, including reimbursement of funds disbursed by Texas Workforce Commission (TWC).	AC	5			AC = Resolution of the claim.			
07.021	3.2.009	State Deferred Compensation Records	Records documenting the amount of pension or deferred compensation earned by individual employees.		4						
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.	AC	75			AC = Termination of employment.		Kept in internal HRIS (human resources information system). See item number 3.1.038.	



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07.025	3.3.015	Positions/Job Classification Review File	Records relating to review and monitoring of job classifications within an agency.	US	3						
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.	US	3						
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.	US	3						
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(c).
07.033	4.7.005	Claim Files	Records documenting requests for payment of a sum of money according to the terms of a policy or contract.	AC	3			AC = Resolution of claim.			



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07.034	5.4.001	Occupational Accident Reports and Associated Documentation	Accident or occupational disease reports (by supervisors and employees) and other associated reports required to be submitted to the State Office of Risk Management (SORM) or its predecessors or maintained internally on accident frequency.	CE	5					See item number 5.4.014a/b for non-employee accidents.	29 CFR 1904.33; 28 TAC 120.1(c).
07.035	5.6.009	Parking Permits or Assignments	Records documenting issuance of parking permits and assignments.	US							
07.036	3.1.042	ADA Accommodation Requests	Employee or applicant requests for reasonable accommodation under the ADA (Americans with Disabilities Act).	AC	2			AC = For employees, termination of employment; for job applicants who were not selected, date of application.			29 CFR 1602.31.



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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, or opinions rendered for Public Information Act Requests. See item number 1.1.048 and agency item number 08.002. ARCHIVES NOTE: Opinions and advice that set legal precedent or exhibit historical value will be evaluated by the Archives and Information Services Division of the Texas State Library and Archives Commission for archival preservation.	
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).	AC	2			AC = Date request fulfilled, notification that records are exempt, or request withdrawn.		Agency policy to keep this longer than state requirement. Includes item numbers 1.1.020 and 1.1.021.	
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 Texas Register.	AC	1			AC = Date of publication in the Texas Register.			



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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.	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	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.	
08.005	1.1.076	Subpoenas	Subpoenas for production of evidence produced for litigation in which the state agency is not a party. Includes legal documents requiring recipient to appear in court to testify, or to produce records to be used in litigation.	AC				AC = Date request fulfilled.		For subpoenas related to litigation in which the state agency is a party, see item number 1.1.048.	
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 EEOC (Equal Employment Opportunity Commission). 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 item numbers 1.1.048, 3.1.006, 3.1.018, 3.1.020, and 3.1.021.	



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10.001	1.1	Audit Delegation Files	Includes delegated audit reports.	AC	7			AC = Date of audit delegation letter.			
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						
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.	
10.004	1.1.040	Legislative Testimony	Testimony provided to legislative committees regarding audits or other agency activities.		6				R	ARCHIVES NOTE: Only speeches, papers, and presentations given by or on behalf of executive staff, board or commission members, division directors and program heads require archival review.	
11.001		State Employee Exit Interview Survey Responses	Responses and associated data received through the Employee Exit Survey System.	FE	5						
11.002		E-Class Data	Electronic Classification Analysis System data.		5						
11.003		FTE Data	Full-Time Equivalent State Employee System data.		10						
11.004		E-CAT Data	Compensation Analysis Tool System data.		2						



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11.005		Classification Compliance System Records	Agency classification information used in classification compliance audits in accordance with Texas Government Code, Chapter 654, Position Classification.		10						
11.006		Leave Reports – Detailed	Reports received from state agencies and institutions of higher education showing leave granted to employees.	AC				AC = Date data entered into summary report.			
11.007		Leave Reports – Summary	High-level summaries of leave granted to employees by state agencies or institutions of higher education.		5						
12.001	3.3.030	Training Materials and Training Administration Records	Instructional materials and related administrative records associated with training provided by the SAO.	FE	5					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	Documents authorizing final disposition of records under a certified records retention schedule. Records may also include destruction authorizations (e.g. form RMD 102) approved by Texas State Library and Archives Commission.	FE	3					CAUTION: If destruction authorizations are maintained as part of item number 1.2.010 (records disposition logs), then longer retention period applies.	



STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

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
 E – Exempt from archival review and transfer

1. Agency Code: 308		2. Agency Name: State Auditor's Office									
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				
13.002	1.2.005	Records Retention Schedule	A records retention schedule (i.e. form SLR 105) that identifies the records that are created and maintained by an agency, provides the minimum timeframes the records must be retained, and includes instructions for their disposition. This series may include working files and documentation of certification and approval by the Texas State Library and Archives Commission.	US						Original is retained for 50 years by the State and Local Records Management Division, Texas State Library and Archives Commission.	
13.003	1.2.006	Records Transmittal Forms	Forms used to track the transmittal of records to/from onsite and offsite storage areas or a transfer of physical custody.	AV							
13.005	1.2.010	Records Disposition Logs	Logs or similar records listing records disposed of by an agency, which might include records series title, dates of records, and date of disposition.		10					CAUTION: Disposition can mean destroyed or transferred.	
13.006	1.2.011	Record Center Storage Approval Forms (RMD 106)	Agency copy of form RMD 106 granting a state agency the authorization to store records at the State Records Center.	US						Obsolete record.	
13.007	1.2.012	Records Inventories	Worksheets or working papers used to capture records inventory information, including location tracking and to document existence and requirements of a records series.	US							



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13.008	1.2.013	Records Access and Locator Aids	Documentation used to provide and improve access to records. Includes indexes, card files, shelf lists, registers, guides, and other finding aids.	AC				AC = When aid is superseded, or no longer needed because associated records have been destroyed.		CAUTION: These records must carry the same retention period and archival code of the records they support.	
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.	US	1						
13.010	1.2.015	Disaster Recovery Service Transmittals	Transmittals and related service documentation (e.g. form RMD 109) for disaster recovery services provided by TSLAC or other entities.	AV							
13.011	1.2.016	Disaster Recovery Service Approval Forms	Forms used by TSLAC (e.g. form RMD 113) or other entities to establish disaster recovery services, authorize agency staff to access the media, etc.	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 other than those listed elsewhere in this schedule.		10						