



December 29, 2014

Mr. Ronak Patel
Deputy Securities Commissioner
State Securities Board
208 E. 10th St., 5th Floor
Treasury Bldg.
Austin, TX 78701

State and Local
Records Management

Re: Agency records retention schedule amendment approved for use

Dear Mr. Patel:

P.O. Box 12927
Austin, Texas
78711.2927

Amendment 2 to your agency's 8th recertification of your records retention schedule is approved for use as of Monday, December 15, 2014. Your currently approved records retention schedule and all amendments are available on our website at <https://www.tsl.texas.gov/slrm/state/schedules.html>. Please maintain this amendment with your currently approved schedule so that it can be easily referenced.

4400 Shoal Creek Blvd.
Austin, Texas
78756

We appreciate your efforts in maintaining an up-to-date schedule. Making additions and changes to your schedule as you identify them not only ensures the integrity of your recordkeeping practices, but keeps your agency in compliance with state regulations (13 TAC §6.4) requiring the submission of any needed amendments to a retention schedule during its certification period to keep the information in the schedule current.

www.tsl.texas.gov

We will notify you of the date your schedule is due for recertification. Any additional approved amendments to your schedule, such as this one, should be incorporated into your main retention schedule prior to submitting it for recertification.

Commission Chairman
Michael C. Waters

Thank you again for your commitment to complying with state records management laws and regulations. If we can provide any assistance to you, please contact the Government Information Analyst assigned to your agency, Erica Wilson, at 512-463-6627 or ewilson@tsl.texas.gov.

Members
Sharon T. Carr
Martha Doty Freeman
F. Linwood Givens
Larry G. Holt
Wm. Scott McAfee
Sandra J. Pickett

Sincerely,

Director and Librarian
Mark Smith

A handwritten signature in blue ink, appearing to be "CK" or similar initials.

Craig Kelso
Director and State Records Administrator

Assistant State Librarian
Edward Seidenberg

cc: State Auditor, State Archivist, John Morgan

*Preserving yesterday,
informing today,
inspiring tomorrow.*

R01.312/312

FW



Texas State Library and Archives Commission

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 312

Agency Name State Securities Board

(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 [Handwritten Signature]

Name (Print or type) Ronak V. Patel

Date 10/3/14

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 [Blank]

Name (Print or type) [Blank]

Date [Blank]

Not Required at This Time

Texas State Library and Archives Commission

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

Signature [Handwritten Signature]

Name (Print or type) [Blank]

Date 12-15-2014

Cert/Recert No. 8 Amendment No. 2

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 Amendment

SLR 122

Form SLR 105C must accompany this form.

1. Page 1 of 1

2. Agency Code 312		3. Agency Name State Securities Board									
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks			Page No.	Agency Item No.	

1.1.006	3	Complaint Records Complaints received by an agency from the public concerning the agency and records pertaining to the resolution of the complaint.	AC+2		AC+2	AC=Final disposition of complaint. CAUTION: If a complaint becomes the subject of litigation, it must be included in and is subject to the minimum retention period of item number 1.1.048.		2	3	C

Retention Codes (Field 7)			Archival Codes (Field 8)		Amendment Codes (Field 12)	
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	MO – Months	A – Transfer to State Archives	N – New	C – Changed	
AV – Administrative Value	FE – Fiscal Year End	PM – Permanent	R – Review by State Archivist	D – Deleted		
	LA – Life of Asset	US – Until Superseded				



February 14, 2014

Mr. Ronak Patel
Deputy Securities Commissioner
State Securities Board
208 E. 10th St., 5th Floor
Treasury Bldg.
Austin, TX 78701

State and Local
Records Management

Re: Agency records retention schedule amendment approved for use

Dear Mr. Patel:

P.O. Box 12927
Austin, Texas
78711.2927

Amendment 1 to your agency's 8th recertification of your records retention schedule is approved for use as of Tuesday, February 11, 2014. Your currently approved records retention schedule and all amendments are available on our website at <https://www.tsl.texas.gov/slrn/state/schedules.html>. Please maintain this amendment with your currently approved schedule so that it can be easily referenced.

4400 Shoal Creek Blvd.
Austin, Texas
78756

We appreciate your efforts in maintaining an up-to-date schedule. Making additions and changes to your schedule as you identify them not only ensures the integrity of your recordkeeping practices, but keeps your agency in compliance with state regulations (13 TAC §6.4) requiring the submission of any needed amendments to a retention schedule during its certification period to keep the information in the schedule current.

www.tsl.texas.gov

We will notify you of the date your schedule is due for recertification. Any additional approved amendments to your schedule, such as this one, should be incorporated into your main retention schedule prior to submitting it for recertification.

Commission Chairman
Michael C. Waters

Thank you again for your commitment to complying with state records management laws and regulations. If we can provide any assistance to you, please contact the Government Information Analyst assigned to your agency, Erica Wilson, at 512-463-6627 or ewilson@tsl.texas.gov.

Members
Sharon T. Carr
Martha Doty Freeman
F. Linwood Givens
Larry G. Holt
Wm. Scott McAfee
Sandra J. Pickett

Sincerely,

Craig Kelso
Director and State Records Administrator

Director and Librarian
Mark Smith

Assistant State Librarian
Edward Seidenberg

Enclosure
cc: State Auditor, State Archivist
cc: (without enclosure) John Morgan

*Preserving yesterday,
informing today,
inspiring tomorrow.*

R01.312/312



STATE OF TEXAS Records Retention Schedule Certification

^{TW}
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 312
Agency Name State Securities Board

(Check one)
 Initial Certification - Form SLR 105
 Recertification - Form SLR 105
 Amendment - Form SLR 122

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

(Check one)
 Agency Head
 Records Management Officer

Signature 

Name (Print or type) Ronak V. Patel

Date 1/10/14

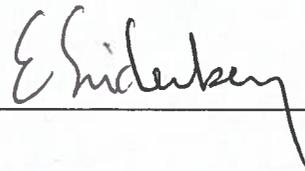
Section 2. Approvals (Submitting agencies do not write in this section)

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 02-11-14

Cert/Recert No. 8 Amendment No. 1

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 Amendment

SLR 122

Form SLR 105C must accompany this form.

1. Page 1 of 1

2. Agency Code 312		3. Agency Name State Securities Board									
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Page No.		Agency Item No.		

3.1.019	67	Performance Appraisals	2		2		29 CFR 1620.32(c).		27	67	C
3.1.021	68	Personnel Disciplinary Action Documentation Disciplinary actions are those actions which may affect pay, status, or tenure. They are imposed to discipline an employee whose conduct is harmful to the best interests of the state, the agency, or the employee work force, and for failure to improve performance or conduct following imposition of corrective action. May include cause for demotion, suspension, or dismissal, and the reasons for failure to give written notice of resignation. May also be used to document evidence of employee self-improvement efforts, as well as favorable and unfavorable communication.	AC + 5		AC + 5		AC = Termination of employment.		27	68	C

Retention Codes (Field 7)			Archival Codes (Field 8)		Amendment Codes (Field 12)
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	MO – Months	A – Transfer to State Archives	N – New	C – Changed
AV – Administrative Value	FE – Fiscal Year End	PM – Permanent	R – Review by State Archivist	D – Deleted	
	LA – Life of Asset	US – Until Superseded			



July 17, 2013

Mr. Ronak Patel
Deputy Securities Commissioner
State Securities Board
208 E. 10th St., 5th Floor
Treasury Bldg.
Austin, TX 78701

State and Local
Records Management

RE: State Securities Board
Retention schedule approved for use

Dear Mr. Patel:

Enclosed is a copy of your recertified records retention schedule. Please ensure all old copies of the schedule are superseded with this recertified copy.

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

During a certification period, state regulations (13 TAC §6.4) also require 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, contact the government information analyst assigned to your agency.

Your efforts in maintaining an up-to-date 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. Your schedule will be due for recertification on the last working day of **July 2016**. If you have any questions, call the information analyst assigned to your agency, Erica Wilson, at 512-463-6627.

Sincerely,

Craig Kelso
Director and State Records Administrator

Enclosure

cc: State Auditor, State Archivist
cc: (without enclosure) John Morgan

P.O. Box 12927
Austin, Texas
78711.2927

4400 Shoal Creek Blvd.
Austin, Texas
78756

www.tsl.state.tx.us

Commission Chairman
Michael C. Waters

Members
Sharon T. Carr
Martha Doty Freeman
F. Linwood Givens
Larry G. Holt
Wm. Scott McAfee
Sandra J. Pickett

*Interim
Director and Librarian*
Edward Seidenberg

*Preserving yesterday,
informing today,
inspiring tomorrow.*

R01.312/312



STATE OF TEXAS

Records Retention Schedule Certification

SLR 105C EW

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 312

Agency Name State Securities Board

(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 [Handwritten Signature]

Name (Print or type) Ronak V. Patel

Date 2/13/2013

Section 2. Approvals

(Submitting agencies do not write in this section)

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

Signature, Name, Date fields for State Auditor's Office, mostly blank with a red stamp.

Not Required at This Time

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

Signature [Handwritten Signature]

Name (Print or type) Donna Osborne

Date 2/15/13

Cert/Recert No. 8 Amendment No. [Blank]



STATE SECURITIES BOARD

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form

1. Page 1 of 51

2. Agency Code 312		3. Agency Name Texas State Securities Board							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				

1.1.002	1	Audits Audits and reviews performed by or on behalf of an agency, including the working papers that support the audit. Also includes audits performed on the agency.	AC+7		AC+7	AC=Publication or release of final audit findings. The State Auditor's Office retains any copies of audits performed by that agency.		
1.1.004	2	Legislative Appropriations Requests Including any supporting documentation created and/or used to justify and support legislative appropriations requests by an agency.	AC+6		AC+6 A	AC=September 1 of odd-numbered calendar years. ARCHIVES NOTE: The archival requirement is met by sending the required copies of the requests to the Texas State Publications Depository Program, Texas State Library and Archives Commission (TSLAC). Only copies of supporting documentation submitted to the Legislative Budget Board are archival.		

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



STATE SECURITIES BOARD

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form

1. Page 2 of 51

2. Agency Code 312		3. Agency Name Texas State Securities Board							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				

1.1.006	3	Complaint Records Complaints received by an agency from the public concerning the agency and records pertaining to the resolution of the complaint.	AC+2	3	AC +5	AC=Final disposition of complaint. Note: Agency policy set retention period longer than TSLAC minimum. CAUTION: If a complaint becomes the subject of litigation, it must be included in and is subject to the minimum retention period of item number 1.1.048.		A2
1.1.007	4	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		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.		
1.1.008	5	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		2	Review after expiration of retention period for continuing administrative value.		

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



STATE SECURITIES BOARD

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form

1. Page 3 of 51

2. Agency Code 312		3. Agency Name Texas State Securities Board							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				

1.1.013	6	<p>Calendars, Appointment and Itinerary Records Calendars, appointment books or programs, and schedules or itinerary records, purchased with state funds or maintained by staff during business hours that document appointments, itineraries and other activities of the agency officials or employees.</p>	CE+1		CE+1	R	<p>Only records of board members, executive staff, and division directors require archival review.</p> <p>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.</p>		
1.1.014	7	<p>Legal Opinions and Advice From agency legal counsel or the Attorney General, including any requests eliciting the opinions.</p>	AV		AV	R	<p>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.</p>		
1.1.019	8	<p>Public Relations Records News, press releases, or any public relations files maintained or issued by an agency. Includes print, electronic, audio, and audiovisual records.</p>	2		2	R			

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



STATE SECURITIES BOARD

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form

1. Page 4 of 51

2. Agency Code 312		3. Agency Name Texas State Securities Board						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

1.1.020	9	Public Information Requests-Not Exempted Includes all correspondence and documentation relating to requests for records that are furnished to the public under Public Information Act.	AC+1	AC+1	AC=Date request fulfilled		
1.1.021	10	Public Information Requests-Exempted Includes all correspondence and documentation relating to requests for records that are exempt under the Public Information Act.	AC+2	AC+2	AC=Date of notification that records are exempt.		
1.1.023	11	Organization Charts	US	US	A		
1.1.024	12	Plans and Planning Records Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC+3	AC+3	R AC=Decision made to implement or not implement result of planning process. ARCHIVES NOTE: Data processing planning records are not archival.		
1.1.026	13	Texas Register Submissions Copies of all proposed, withdrawn, emergency, and adopted rules; open meetings notices; or any other documents required by law to be submitted in the Texas Register.	PM	PM	Note: Agency policy set retention period longer than TSLAC minimum.		

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



STATE SECURITIES BOARD

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form

1. Page 5 of 51

2. Agency Code 312		3. Agency Name Texas State Securities Board							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				

1.1.027	14	Proposed Legislation Drafts of proposed legislation and related correspondence.	AV		AV			
1.1.038	15	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC+3		AC+3		AC = When summary report is completed. Review after expiration of retention period for continuing administrative value.	
1.1.040	16	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC		AC	R	AC= End of term in office or termination of service in a state position. Review after expiration of retention period for continuing administrative value.	
1.1.043	17	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1		US+1			

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



STATE SECURITIES BOARD

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form

1. Page 6 of 51

2. Agency Code 312		3. Agency Name Texas State Securities Board							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				

1.1.048	18	Litigation Files Records created by or on behalf of an agency in anticipation of or in the adjudication of a lawsuit.	AC+10	AC+10	R	AC = As applicable, decision of Agency not to file a lawsuit or decision that a lawsuit will not be filed against Agency on a matter; dismissal of a lawsuit; or final decision of a court. ARCHIVE NOTE: Cases that set legal precedent or exhibit historical value will be evaluated by the Archives and Information Services Division of the Texas State Library and Archives Commission for archival preservation.		
1.1.053	19	Registration Logs Logs or similar records used to register persons appearing before state agencies as required by Chapter 2004, Government Code, including quarterly reports filed with the Texas Ethics Commission.	AC	AC		AC=Report filed with the Texas Ethics Commission		

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



STATE SECURITIES BOARD

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form

1. Page 7 of 51

2. Agency Code 312		3. Agency Name Texas State Securities Board							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				

1.1.055	20	Strategic Plans Information resources and operational strategic plans prepared in accordance with §2054.095 and §2056.002, Government Code.	AC+6		AC+6	A	AC=Sept. 1 of odd-numbered calendar years. Archival requirement met by sending copies to Texas State Publications Depository Program, Texas State Library and Archives Commission.		
1.1.056	21	ADA(Americans with Disabilities Act) Documentation Self evaluations and plans documenting compliance with the requirements of the Americans with Disabilities Act.	3		3		28 CFR 35.105 (c)		

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



STATE SECURITIES BOARD

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form

1. Page 8 of 51

2. Agency Code	312	3. Agency Name					Texas State Securities Board				
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.		
			Agency	Storage	Total						

1.1.057	22	<p>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.</p> <p>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; 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	<p>AC=Purpose of record has been fulfilled. 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>		
---------	----	--	----	--	----	--	--	--

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



STATE SECURITIES BOARD

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form

1. Page 9 of 51

2. Agency Code 312		3. Agency Name Texas State Securities Board								
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.	
			Agency	Storage	Total					
1.1.058	23	Meeting Agenda and Minutes Official agenda and minutes of state boards, committees, commissions and councils that conduct open meeting as required by Government Code, Chapter 551.	PM		PM	A	Agency retains permanent record copy. The archival requirement met by sending a copy to the Archives and Information Services Division, Texas State Library and Archives Commission.			
1.1.059	24	Meetings, Certified Agendas or Tape Recordings of Closed Certified agendas or tape recordings of closed meetings of state boards, commissions, committees, and councils.	PM		PM		Government Code, 551.104(a). Note: Agency policy set retention period longer than TSLAC minimum.			

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



STATE SECURITIES BOARD

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form

1. Page 10 of 51

2. Agency Code 312		3. Agency Name Texas State Securities Board							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				

1.1.060	25	Meetings, Audio or Videotapes of Open Audio or videotapes of open meetings of state boards, commissions, committees, and councils.	PM	PM	PM	Note: Agency policy set retention period longer than TSLAC minimum. CAUTION: Minutes of state agencies are permanent records. Audio and videotapes are not permanent media. State agencies may not retain audio or videotapes of the meetings of governing bodies in lieu of written minutes. The proceedings of all meetings of state boards, committees, commissions, and councils must be reduced to writing. SEE caution comment at item number 1.1.058.		
1.1.062	26	Meetings--Supporting Documentation Documents submitted at meetings of state boards, commissions, committees, and councils including exhibit items, documentation for agenda items, etc. Includes documents sent in advance of meetings for briefing purposes, some of which may not be submitted at an actual meeting.	PM	PM	A	Note: Agency policy set retention period longer than TSLAC minimum.		

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



STATE SECURITIES BOARD

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form

1. Page 11 of 51

2. Agency Code 312		3. Agency Name Texas State Securities Board						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			

1.1.063	27	Staff Meeting Minutes and Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1		1			
1.1.064	28	Agency Performance Measures Documentation Any records of an agency needed for the documentation of output, outcome, efficiency, and explanatory measures in an agency's appropriations request or strategic plan, and for performance measures used to manage the agency.	FE+3		FE+3		CAUTION: The FE + 3 retention period overrides any shorter retention period for a records series in this schedule if the records series is needed for documentation of agency performance measures.	
1.1.065	29	Reports and Studies (Non-Fiscal)-Raw Data Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV		AV		CAUTION: Does not include source documentation used for information or data included in or directly related to another records series in this schedule. SEE especially item number 1.1.064.	

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



STATE SECURITIES BOARD

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form

1. Page 12 of 51

2. Agency Code 312		3. Agency Name Texas State Securities Board							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				

1.1.066	30	Reports-Biennial or Annual Agency (Narrative) Biennial narrative reports to the governor and legislature as required by an agency's enabling statutes, including annual narrative reports if they are required by statute.	AC+6		AC+6	A	AC= Sept. 1 of odd-numbered calendar years. The archival requirement is met by sending required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission.		
1.1.068	31	Reports on Performance Measures Quarterly and annual reports on agency performance measures submitted to executive and legislative offices.	AC + 6		AC + 6		AC = Sept. 1 of odd-numbered calendar years.		
1.1.069	32	Reports- Activity Reports compiled by agency personnel on a daily or other periodic basis pertaining to workload monitoring, task completion times, number of public contacts, and similar activities.	1		1				

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



STATE SECURITIES BOARD

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form

1. Page 13 of 51

2. Agency Code 312		3. Agency Name Texas State Securities Board							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				

1.1.070	33	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC + 3		AC + 3	R	AC = Completion or termination of program, rules, policies or procedures. Review after expiration of retention period for continuing administrative value.		
1.1.071	34	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.	AC + 3		AC + 3	R	AC = Completion or termination of program, rules, policies or procedures.		
1.1.072	35	Public Information Reports Reports made to the Office of the Attorney General on an agency's Public Information Act activities.	2		2				

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



STATE SECURITIES BOARD

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form

1. Page 14 of 51

2. Agency Code 312		3. Agency Name Texas State Securities Board						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

1.1.073	36	Administrative Hearings Transcripts and final decisions of hearings conducted as part of the regulatory process, and hearings on proposed rules and changes. The records may be maintained with related information including meeting notices, proofs of publication, and meeting minutes.	AC + 10	AC + 10	R	AC = Last action. Note: Agency policy set retention period longer than TSLAC minimum.		
1.1.074	37	Sunset Review Report and Documentation	AC + 3	AC + 3	R	AC = After the subsequent Sunset Review. Review after expiration of retention period for continuing administrative value.		
1.2.001	38	Destruction Authorizations Agency level documents authorizing final disposition of records under a certified records retention schedule.	FE + 3	FE + 3				
1.2.003	39	Forms History File Print masters of original version and all subsequent revisions to an agency form, including any associated design or design modification requests.	AC + 1	AC + 1		AC = Discontinuance of use of form.		

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



STATE SECURITIES BOARD

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form

1. Page 15 of 51

2. Agency Code 312		3. Agency Name Texas State Securities Board						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			

1.2.004	40	Forms Inventory Any periodic listing of all forms used internally or externally by an agency.	US	US				
1.2.005	41	Records Retention Schedule (SLR 105) Agency copy. Includes documentation of certification and approval - forms SLR 105C and/or other forms designated by the State Records Administrator.	US	US		Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission.		
1.2.006	42	Records Transmittal Forms Agency copy. Forms indicate records transferred to storage or transfer of legal custody.	AC + 2	AC + 2		AC = Date of authorization for destruction, permanent transfer from storage, or transfer to the Archives and Information Services Division, Texas State Library and Archives Commission, by the Agency records management officer.		
1.2.008	43	Request for Authority to Dispose of State Records (RMD 102) Agency copy.	FE + 3	FE + 3		Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission.		

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



STATE SECURITIES BOARD

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form

1. Page 16 of 51

2. Agency Code 312		3. Agency Name Texas State Securities Board						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

1.2.010	44	Records Disposition Logs Logs or similar records listing records destroyed or transferred to the Archives and Information Services Division, Texas State Library and Archives Commission, showing records series title, dates of records, and date destroyed or transferred.	10	10				
1.2.011	45	Record Center Storage Approval Forms (106) Agency copy.	US	US				
1.2.012	46	Records Inventory Worksheets	US	US				
1.2.013	47	Records Control Locator Aids Includes indexes, card files, shelf lists, registers, guides, etc.	AC	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.		

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



STATE SECURITIES BOARD

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form

1. Page 17 of 51

2. Agency Code 312		3. Agency Name Texas State Securities Board						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

1.3.001	48	State Publications	AC + 2		AC + 2	<p>AC = Until superseded or obsolete. CAUTION: Many state publications must be submitted to the Texas State Publications Depository Program. Texas State Library and Archives Commission, by law (Government Code 441.101-441.106). The Texas State Library and Archives Commission will retain a copy of all state publications submitted to it on a continuing basis, subject to periodic evaluation to determine if the publication merits further retention.</p> <p>For additional information and requirements concerning state publications made available to the public through the Internet, consult the administrative rules of the Texas State Publications Depository Program of the Texas State Library and Archives Commission (13 TAC §§3.1-3.16).</p>		
---------	----	---------------------------	--------	--	--------	--	--	--

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



STATE SECURITIES BOARD

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form

1. Page 18 of 51

2. Agency Code 312		3. Agency Name Texas State Securities Board							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				

1.3.002	49	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	AV	R			
2.1.001	50	Processing Files Machine-readable files used in the creation, utilization, and updating of master files.	AC	AC		AC = Completion of 3rd verification cycle, or audit completion confirming successful transaction processing, or required audit trail maintenance, or the ability to restore or migrate when errors are detected or when hardware or software changes occur. 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.		

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



STATE SECURITIES BOARD

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form

1. Page 19 of 51

2. Agency Code 312		3. Agency Name Texas State Securities Board						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

2.1.002	51	<p>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.</p>	AC		AC	<p>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 software changes occur.</p> <p>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.</p>		
---------	----	--	----	--	----	---	--	--

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



STATE SECURITIES BOARD

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form

1. Page 20 of 51

2. Agency Code 312		3. Agency Name Texas State Securities Board							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				

2.1.007	52	Software Programs Automated software applications and operating system files including job control language, program listing/ source code, etc.	AC	AC	AC = Until electronic records are transferred to and made useable 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. 13 TAC 6.94 CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.		
---------	----	---	----	----	---	--	--

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



STATE SECURITIES BOARD

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form

1. Page 21 of 51

2. Agency Code 312		3. Agency Name Texas State Securities Board						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

2.1.008	53	Hardware Documentation Records documenting operational and maintenance requirements of computer hardware such as operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems.	AC	AC	AC = Until electronic records are transferred to and made useable in a new software environment or there are no electronic records being retained to meet an approved retention period that require the hardware to be retrieved and read. 13 TAC 6.94 CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.		
---------	----	---	----	----	---	--	--

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



STATE SECURITIES BOARD

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form

1. Page 22 of 51

2. Agency Code	312	3. Agency Name					Texas State Securities Board				
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title			7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
					Agency	Storage	Total	9. Remarks			

2.1.009	54	<p>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.</p>	AC		AC		<p>AC = Until electronic records are transferred to and made useable 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. 13 TAC 6.94</p> <p>CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.</p>		
---------	----	---	----	--	----	--	--	--	--

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



STATE SECURITIES BOARD

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form

1. Page 23 of 51

2. Agency Code 312		3. Agency Name Texas State Securities Board							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				

2.2.001	55	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		AV				
2.2.004	201	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.	3 MO		3 MO				
2.2.010	56	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		US + 3		CAUTION: Does not include technical documentation of procedures necessary for reading or processing of electronic records. SEE item number 2.1.009.		
2.2.011	57	Batch Data Entry Control Records Forms and logs used to reconcile batches submitted for processing against batches received and processed.	AC		AC		AC = When reconciliation confirmed.		

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



STATE SECURITIES BOARD

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form

1. Page 24 of 51

2. Agency Code 312		3. Agency Name Texas State Securities Board						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			
2.2.012	58	Output Records for Computer Production Reports showing transactions that were accepted, rejected, suspended, and/or processed.	AV		AV			
2.2.013	59	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		AC = No longer needed as an audit trail for any records modified.	
2.2.016	60	Software Registrations, Warranties and License Agreements	LA + 3		LA + 3			

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



STATE SECURITIES BOARD

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form

1. Page 25 of 51

2. Agency Code 312		3. Agency Name Texas State Securities Board							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				

3.1.001	61	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 the application procedures, or in the employment advertisement.	2	2	29 CFR 1602.31		
3.1.002	62	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 +10	AC + 10	AC = Termination of employment. Note: Agency policy set retention period longer than TSLAC minimum.		
3.1.011	63	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+10	AC+10	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.		

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



STATE SECURITIES BOARD

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form

1. Page 26 of 51

2. Agency Code 312		3. Agency Name Texas State Securities Board							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				

3.1.012	64	Employment Opportunity Announcements Internal or external announcements or advertisements of job openings, promotions, training programs, or opportunities for overtime.	5	5	29 CFR 1602.31. Note: Agency policy set retention period longer than TSLAC minimum.		
3.1.014	65	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.	2	2	29 CFR 1602.31 CAUTION: Does not include criminal history checks. SEE item number 3.1.026.		
3.1.018	66	Grievance Records Records relating to the review of employee grievances against personnel policies, working conditions, etc.	AC + 2	AC + 2	AC = Final decision on 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.		

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



STATE SECURITIES BOARD

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form

1. Page 27 of 51

2. Agency Code 312		3. Agency Name Texas State Securities Board							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				

3.1.019	67	Performance Appraisals	AC +10		AC +10	29 CFR 1620.32(c). AC = Termination of employment. Note: Agency policy set retention period longer than TSLAC minimum.		A1
3.1.021	68	Personnel Disciplinary Action Documentation Disciplinary actions are those actions which may affect pay, status, or tenure. They are imposed to discipline an employee whose conduct is harmful to the best interests of the state, the agency, or the employee work force, and for failure to improve performance or conduct following imposition of corrective action. May include cause for demotion, suspension, or dismissal, and the reasons for failure to give written notice of resignation. May also be used to document evidence of employee self-improvement efforts, as well as favorable and unfavorable communication.	AC + 10		AC + 10	AC = Termination of employment. Note: Agency policy set retention period longer than TSLAC minimum.		A1

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



STATE SECURITIES BOARD

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form

1. Page 28 of 51

2. Agency Code 312		3. Agency Name Texas State Securities Board							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				

3.1.022	69	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 + 10		AC + 10	29 CFR 1602.31 AC = Termination of employment. Note: Agency policy set retention period longer than TSLAC minimum.		
3.1.023	70	Position / Job Descriptions Job descriptions, including all associated task or skill statements, for positions in an agency.	AC + 4		AC + 4	AC = Until superseded or job eliminated. 40 TAC 815.106(i).		
3.1.026	71	Criminal History Checks Criminal history record information on job applicants or agency employees obtained from the Department of Public Safety.	AC		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, Government Code for appropriate retention and use of this information.		

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



STATE SECURITIES BOARD

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form

1. Page 29 of 51

2. Agency Code 312		3. Agency Name Texas State Securities Board						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			

3.1.027	72	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.	AC + 10		AC + 10	AC = Termination of employment. Note: Agency policy set retention period longer than TSLAC minimum.		
3.1.029	73	Employment Eligibility, Documentation or Verification of Federal reporting form (INS I-9)	AC + 10		AC + 10	AC = Termination of employment. Note: Agency policy set retention period longer than TSLAC minimum. CAUTION: Federal regulation requires that INS I-9 forms be retained for 3 years from date of hire or 1 year after separation of the employee, whichever later. Agencies should make certain that the INS I-9 forms for employees who terminate from an agency less than 3 years from date of hire are kept for the 3 year retention period. 8 CFR 274a.2(b)(2)(i)(A) and (c)(2).		

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



STATE SECURITIES BOARD

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form

1. Page 30 of 51

2. Agency Code 312		3. Agency Name Texas State Securities Board						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

3.1.031	74	Employee Benefits - Other than Insurance Agency copies of information relating to the selection of available benefit options other than insurance.	AC + 10		AC + 10	AC = Until superseded or termination of employment. Note: Agency policy set retention period longer than TSLAC minimum. CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item number 3.2.001.		
3.1.038	75	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.	US		US			

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



STATE SECURITIES BOARD

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form

1. Page 31 of 51

2. Agency Code 312		3. Agency Name Texas State Securities Board						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

3.1.039	76	Ombudsman Records Consultation records, notes, letters, memos, emails, reports and other documentation.	AC		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.		
3.2.001	77	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 + 10		AC + 10	AC = After termination of employment. Note: Agency policy set retention period longer than TSLAC minimum.		
3.2.002	78	Employee Earnings Records	4		4	40 TAC 815.106(i).		
3.2.003	79	Federal Tax Records Includes FICA records.	AC + 4		AC + 4	AC = Tax due date, date claim is filed, or date tax is paid whichever is later. 26 CFR 31.6001 - 1(e)(2).		

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



STATE SECURITIES BOARD

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form

1. Page 32 of 51

2. Agency Code 312		3. Agency Name Texas State Securities Board							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				

3.2.004	80	Income Adjustment Authorizations Used to make increases or decreases to employees' gross pay, FICA, retirement, or in the computation of taxes.	4		4		29 CFR 516.6(c). Note: Agency policy set retention period longer than TSLAC minimum.		
3.2.005	81	W-4 Forms Employer's copy of the "Employee's Withholding Exemption Certificate."	AC + 4		AC + 4		AC = Until superseded, obsolete, or upon separation of employee. 26 CFR 31.6001-1(e)(2).		
3.2.006	82	Wage Rate Tables	2		2		29 CFR 516.6(a)(2).		
3.2.007	83	Unemployment Compensation Records	AC + 5		AC + 5		AC = Final unemployment compensation payment submitted		
3.2.008	84	Direct Deposit Application / Authorizations	US		US				
3.2.009	85	State Deferred Compensation Records	AC + 10		AC + 10		AC = Termination of employment. Note: Agency policy set retention period longer than TSLAC minimum.		
3.3.004	86	Benefit Plans Employee benefit plans such as pension; life, health, and disability insurance; deferred compensation; etc., including amendments.	US + 1		US + 1		29 CFR 1627.3(b)(2).		
3.3.010	87	Labor Statistics Reports Reports providing statistical information on labor force.	3		3				

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



STATE SECURITIES BOARD

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form

1. Page 33 of 51

2. Agency Code 312		3. Agency Name Texas State Securities Board							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				

3.3.011	88	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.	PM	PM	PM		Note: Agency policy set retention period longer than TSLAC minimum.	96-312-021	
3.3.015	89	Positions / Job Classification Review File Records relating to review and monitoring of job classifications within an agency.	US + 3		US + 3				
3.3.020	90	Work Schedules / Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1		1				
3.3.022	91	Texas Workforce Commission (TWC) Reports Reports to the agency from TWC or its predecessor pertaining to employees.	3		3				

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



STATE SECURITIES BOARD

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form

1. Page 34 of 51

2. Agency Code 312		3. Agency Name Texas State Securities Board							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				

3.3.023	92	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.	FE + 3		FE + 3				
3.3.024	93	Personnel Policies and Procedures Any internally distributed manuals, guidelines, or similar records that define agency wide policies and procedures concerning the personnel of an agency.	US + 3		US + 3				
3.3.025	94	Job Procedure Records Any documents detailing the procedural duties and responsibilities of agency positions on a position-by-position basis.	US + 3		US + 3				

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



STATE SECURITIES BOARD

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form

1. Page 35 of 51

2. Agency Code 312		3. Agency Name Texas State Securities Board							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				

3.3.026	95	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, analysis of turnover rates and seasonality of employment, etc.	US + 10	US + 10	US + 10	Note: Agency policy set retention period longer than TSLAC minimum.		
3.3.027	202	Aptitude and Skills Tests Aptitude or skills tests required of job applicants or of current personnel to qualify for promotion or transfer.	US + 2	US + 2	US + 2	29 CFR 1602.31 [State Agencies]. 29 CFR 1602.49 [State Universities]. CAUTION: One copy of each different test (different in terms of either questions or administration procedures) should be retained for the period indicated.		
3.3.030	96	Training Administration Records Instructional materials and other records associated with in-house training of agency personnel on personnel policies and procedures and other policies and procedures that govern an agency's programs, services, or projects.	US + 2	US + 2	US + 2	CAUTION: Does not include hazardous material training records. SEE item number 5.4.007.		

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



STATE SECURITIES BOARD

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form

1. Page 36 of 51

2. Agency Code 312		3. Agency Name Texas State Securities Board						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			

3.3.031	97	EEO Reports and Supporting Documentation Includes documentation used to complete EEO reports.	3		3	29 CFR 1602.32, 1602.39, 1602.41, 1602.48, and 1602.50.		
3.4.001	98	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		FE + 3			
3.4.002	99	Leave Status Reports Cumulative report is issued each pay cycle and provides employee leave status information for each position.	FE + 3		FE + 3			
3.4.003	100	Less Than Full-Time Worked Reports Date and hours.	4		4	40 TAC 815.106(i)		
3.4.004	207	Overtime Authorizations	2		2			
3.4.006	101	Time Cards and Time Sheets	FE + 4		FE + 4	Note: Agency policy set retention period longer than TSLAC minimum. 40 TAC 815.106 (i).		

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



STATE SECURITIES BOARD

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form

1. Page 37 of 51

2. Agency Code 312		3. Agency Name Texas State Securities Board							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				

3.4.007	102	Time Off and/or Sick Leave Reports	FE + 4		FE + 4	Note: Agency policy set retention period longer than TSLAC minimum. 40 TAC 815.106(i).		
3.4.008	103	Sick Leave Pool Documentation Requests submitted, approvals, number of hours transferred in and out, etc.	FE + 4		FE + 4	Note: Agency policy set retention period longer than TSLAC minimum.		
4.1.001	104	Accounts Payable Information	FE + 3		FE + 3			
4.1.002	105	Billing Detail	FE + 3		FE + 3	CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.		
4.1.004	106	Encumbrance Detail	FE + 3		FE + 3			
4.1.005	107	Inventory and Other Cost Files	FE + 3		FE + 3			
4.1.007	108	Transfers or Budget Revisions Transfers or adjustment to budgets.	FE + 3		FE + 3			
4.1.008	109	Electronic Fund Transfers Direct Deposit Registers.	FE + 3		FE + 3			
4.2.001	110	Cash Deposit Vouchers Cash deposit slips.	FE + 3		FE + 3			
4.2.002	111	Cash Receipts Includes receipts for fees (permits, licenses, renewals, etc.)	FE + 3		FE + 3			
4.2.003	112	Daily Cash Receipts Logs	FE + 3		FE + 3			

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



STATE SECURITIES BOARD

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form

1. Page 38 of 51

2. Agency Code 312		3. Agency Name Texas State Securities Board						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			

4.2.004	113	Encumbrance Vouchers Orders, statements, change orders, etc.	FE + 3		FE + 3			
4.2.005	114	Purchase Vouchers Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE + 3		FE + 3			
4.2.006	115	General Journal Vouchers	FE + 3		FE + 3			
4.2.007	116	Expenditure Vouchers Travel, payroll, etc.	FE + 3		FE + 3			
4.3.003	117	Expenditures Journals or Registers	FE + 3		FE + 3			
4.4.003	118	Accounts Payable Ledgers	FE + 3		FE + 3			
4.4.004	119	Employee Savings Bond Ledgers	FE + 3		FE + 3			
4.5.001	120	Worksheets for Preparing Fiscal Reports	FE + 3		FE + 3			
4.5.002	121	Internal Fiscal Management Reports Includes agency monthly budget reports.	FE + 3		FE + 3			
4.5.003	122	Annual Financial Reports Required by the General Appropriations Act.	AC + 6		AC + 6	AC = Sept. 1 of odd-numbered calendar years.		
4.5.005	123	External Fiscal Reports Special purpose - i.e. federal financial reports, salary reports, etc. Includes HUB Reports.	FE + 3		FE + 3			

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



STATE SECURITIES BOARD

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form

1. Page 39 of 51

2. Agency Code 312		3. Agency Name Texas State Securities Board						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			

4.5.006	124	Annual Operating Budgets Required by the General Appropriations Act.	FE + 3		FE + 3			
4.5.007	203	USAS Reports – Daily	AC		AC		AC = Receipt and reconciliation of monthly report.	
4.5.008	204	USAS Reports - Monthly	AC		AC		AC = Receipt and reconciliation of annual report.	
4.5.009	125	USAS Reports - Annual	FE + 3		FE + 3			
4.6.002	126	Reconciliations	FE + 3		FE + 3			
4.6.003	127	Cash Counts	FE + 3		FE + 3			
4.7.001	128	Accounting Policies and Procedures Manual	US + 3		US + 3			
4.7.003	129	Returned Checks/Warrants/Drafts (Uncollectable)	AC + 3		AC + 3		AC = After deemed uncollectable.	
4.7.004	130	Capital Asset Records	LA + 3		LA + 3			
4.7.007	131	Detail Chart of Accounts One for all accounts in use for a fiscal year.	FE + 3		FE + 3			
4.7.009	132	Fixed Asset Sequential Number Logs	US + 3		US + 3			

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



STATE SECURITIES BOARD

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form

1. Page 40 of 51

2. Agency Code 312		3. Agency Name Texas State Securities Board							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				

4.7.011		Texas Building and Procurement Commission Statements (TBPC) Charge or bill statements received by agencies from the TBPC for services provided.	FE + 3		FE + 3				
4.7.012	133	Signature Authorizations Signature cards or similar records establishing authority of an agency employee to initiate or authorize financial transactions on behalf of an agency.	JS + FE + 3		JS + FE + 3				
5.1.001	134	Contracts and Leases Contracts, leases and agreement 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 + 4		AC + 4		AC = Expiration or termination of the instrument according to its terms.		

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



STATE SECURITIES BOARD

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form

1. Page 41 of 51

2. Agency Code 312		3. Agency Name Texas State Securities Board						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			

5.1.004	135	Mailing 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	US	Review after expiration of retention period for continuing administrative value.		
5.1.005	136	Postage Records Records and reports of postage expenses, including postal meter usage.	FE + 3	FE + 3			
5.1.007	137	Requisitions for In-Agency/ Inter-Agency Copy/ Printing Service Includes word processing and data processing.	AV	AV			
5.1.011	138	Photocopier and Telefax Usage Logs & Reports	AV	AV			
5.1.012	139	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	US + 3			
5.1.013	140	Insurance Policies For vehicles, equipment, etc.	AC + 4	AC + 4	AC = Expiration or termination of the policy according to its terms.		

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



STATE SECURITIES BOARD

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form

1. Page 42 of 51

2. Agency Code 312		3. Agency Name Texas State Securities Board							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				

5.1.014	141	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, print shop and photocopy ordering instructions.	US + 1		US + 1				
5.1.015	142	Correspondence Tracking Records Any record created by an agency to track any type of incoming and outgoing correspondence or packages by the U.S. Postal Service or by private couriers.	1		1				
5.1.017	143	Contract Log List of agency contracts, leases, and agreements including general obligation, land lease, utilities, and construction contracts.	FE + 3		FE + 3				
5.2.003	144	Building Plans and Specifications Includes architectural and engineering drawings, profiles, and blueprints.	State Owned: LA Leased: AC + 2		State Owned: LA Leased: AC + 2	R	AC = For leased buildings; termination or cancellation of lease.		

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



STATE SECURITIES BOARD

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form

1. Page 43 of 51

2. Agency Code 312		3. Agency Name Texas State Securities Board							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				

5.2.004	145	Building Space Requests	1		1				
5.2.007	146	Damage Reports Reports of damage to state property.	FE + 3		FE + 3				
5.2.008	147	Equipment History File; Equipment Service Agreements Agreements or contracts between the agency and equipment vendor to provide maintenance service for equipment. Including requests for installation, moves, service, etc.; and service/repair logbooks, etc.	LA + 3		LA + 3				
5.2.009	148	Equipment Inventory Detail Report Forms Updates agency portion of the inventory listing and add, changes, transfers, or deletes items from inventory.	FE + 3		FE + 3				
5.2.010	149	Equipment Manuals	LA		LA				
5.2.011	150	Equipment Warranties	AC + 1		AC + 1		AC = Expiration of warranty.		
5.2.014	151	Inventory - Annual Physical Property, equipment, supply verification.	FE + 3		FE + 3				
5.2.017	152	Lost & Stolen Property Reports	FE + 3		FE + 3				
5.2.021	153	Surplus Property Sale Reports	FE + 3		FE + 3				
5.2.027	154	Space Utilization Reports	AV		AV				

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



STATE SECURITIES BOARD

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form

1. Page 44 of 51

2. Agency Code 312		3. Agency Name Texas State Securities Board							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				

5.3.007	155	Bid Documentation Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, accepted and rejected bids, and bid tabulation/evaluations.	FE + 3		FE + 3	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.		
5.3.008	156	Purchasing Logs Log, register, etc., providing a record of purchase orders issued, orders received, and similar data on procurement status.	FE + 3		FE + 3			
5.4.001	157	Accident Reports and Associated Documentation Accident or occupational disease reports (by supervisors and employees) and other associated reports required to be submitted to the Workers' Compensation division of the Texas Department of Insurance or its predecessors or maintained internally on accident frequency.	CE + 5		CE + 5	29 CFR 1904.33. The Workers' Compensation division of the Texas Department of Insurance retains copies of the reports submitted to it for 50 years.		
5.4.002	158	Evacuation Plans Plans for evacuation of agency facilities in cases of emergency.	US		US			

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



STATE SECURITIES BOARD

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form

1. Page 45 of 51

2. Agency Code 312		3. Agency Name Texas State Securities Board							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				

5.4.003	159	Inspection Records Fire, safety, and other inspection records of agency facilities and equipment.	AC + 3		AC + 3		AC = Inspection, or date of the correction of the deficiency if the inspection report reveals a deficiency.		
5.4.004	160	Fire Orders Orders issued by Fire Marshal to correct deficiencies in compliance with the fire code.	AC + 3		AC + 3		AC = Deficiency corrected.		
5.4.007	161	Hazardous Materials Training Records Records of training given employees in an agency hazard communications program	5		5		Texas Health and Safety Code, 502.009(g)		
5.4.008	162	Hazard Communication Plans	US + 5		US + 5		Texas Health and Safety Code, 502.009(g)		
5.4.009	163	Workplace Chemical Lists	30		30		Texas Health and Safety Code, 502.005(d)		
5.4.010	164	Material Safety Data Sheets	AC		AC		AC = After sheets are updated or hazardous chemical no longer stored by agency, as applicable.		
5.4.011	165	Visitor Control Registers Logs, registers, or similar records documenting visitors to limited access or restricted areas of agency facilities.	3		3				

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



STATE SECURITIES BOARD

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form

1. Page 46 of 51

2. Agency Code 312		3. Agency Name Texas State Securities Board							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.	
			Agency	Storage	Total				

5.4.012	166	Security Access Records	AC + 2		AC + 2	AC = Until superseded, date of expiration, or date of termination, whichever sooner.		
5.4.013	167	Disaster Preparedness and Recovery Plans	US		US			
5.5.001	206	Billing Detail - Telecommunications (Other Than TEX-AN) In addition to summary detail, includes any accompanying detailed listing of long distance calls.	FE + 3		FE + 3			
5.5.002	168	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		AV			
5.5.007	169	Disputed Call Documentation Documentation relating to disputed long distance calls, including documents evidencing repayment by employees for personal long distance use.	FE + 3		FE + 3			
5.6.004	170	License and Driving Record Checks	AC		AC	AC = Until superseded or until termination of employment		
5.6.009	171	Parking Permits or Assignments	US		US			
	172	Inspections & Compliance Reports	AC	5	AC + 5	AC = Date completed.	02-312-024	

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



STATE SECURITIES BOARD

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form

1. Page 47 of 51

2. Agency Code 312		3. Agency Name Texas State Securities Board							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				

173	Disciplinary Review File-Registered Individual/Entity	AC + 1	4	AC + 5	AC = Date completed	02-312-026	
174	Securities Registration-Securities Files	AC	5	AC + 5	AC = Expiration of permit.	91-312-013	
175	Securities Registration-Exemption Filings 5.O	AC	5	AC + 5	AC = Date Filing Accepted.	92-312-017	
176	Securities Registration-Reg. D Filings 109.13(k) and 114.4 (b) (1).	1	4	5		90-312-005	
178	Securities Registration- Exemption Filings 139.14, 139.16, & 139.19	5		5			
179	Securities Registration- Covered Securities Filings 114.4(a)(1)	2		2			
180	Dealer Registration-Dealer/Investment Adviser & Agent Files	FE	5	FE + 5		91-312-012	
181	Dealer/Investment Adviser Registration History	PM	PM	PM		96-312-022	
182	Dealer Exams-Drafts	US		US			
183	Exam Correspondence	AV		AV			
184	Dealer Exam Monitor Notebook	FE+3		FE + 3			
185	Dealer Registration-Exemption Filings 133.29	5		5			
186	Dealer and Investment Adviser Split Material	FE	5	FE + 5			
187	Staff Services Daily Money Batch Numbers	FE + 3		FE + 3			

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



STATE SECURITIES BOARD

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form

1. Page 48 of 51

2. Agency Code 312		3. Agency Name Texas State Securities Board						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			

	188	Staff Services Refunds	FE + 3		FE + 3				
	189	Enforcement Investigation Files	AC	10	AC + 10		AC = Investigation completed Archival review code removed subsequent to appraisal by the Archives and Information Services Division, Texas State Library and Archives Commission, April 18, 2012.	91-312-015	
	190	Enforcement Investigative Suspense Files	FE + 5	5	FE + 10		Archival review code removed subsequent to appraisal by the Archives and Information Services Division, Texas State Library and Archives Commission, April 18, 2012.	91-312-014	
	191	Inspections and Compliance Investigation Files	AC	10	AC + 10		AC = Investigation completed		
	192	Complaints on Registered Dealers/Agents/Investment Advisers and Investment Adviser Representatives	AC	5	AC + 5		AC = Complaint review and administrative sanction process completed.	02-312-025	
	193	General Exemptions By Sections	1	10	11			91-312-009	
	194	Rules Revisions - General Counsel	10	20	30	A		91-312-011	
	195	Daily Disbursement Detail for Dealers, Investment Advisers and Agents	FE+5		FE+5				

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



STATE SECURITIES BOARD

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form

1. Page 49 of 51

2. Agency Code 312		3. Agency Name Texas State Securities Board						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

4.	5.	6.	7.	7.	7.	8.	10.	11.
Records Series Item No.	Agency Item No.	Record Series Title	Agency	Storage	Total	Archival	106 No.	TSLAC ONLY Amend. No.
	196	Enforcement Database Electronic database of individuals and entities subject to investigation or enforcement action.	PM		PM			
	197	Inspections and Compliance Database Electronic database of entities subject to inspection, complaints, agent reviews, legal referrals, and inspections completed.	PM		PM			
	198	Undertaking and Disciplinary Order Records. Documentation of undertakings, notices of hearing, proof of service, administrative fines, and administrative disciplinary orders.	PM		PM			
	199	Expungement Files. Documentation of requests, reviews, and actions taken on dealer, agent, investment adviser, and investment adviser registration expungement matters.	AC		AC	AC= Date agency review of expungement request is completed.		
	200	Forwarding Service of Process	3		3			

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



STATE SECURITIES BOARD

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form

1. Page 50 of 51

2. Agency Code		312		3. Agency Name		Texas State Securities Board					
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title			7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
					Agency	Storage	Total	9. Remarks			

Instructions for Completing Form SLR 105

Forms SLR 105 must be used by all state agencies to submit the agency records retention schedule (Texas Government Code, Chapter 441, §441.185). See Form SLR 105C instructions for submission procedures. If you have any questions relating to completion of this form or SLR 105C, please contact the State and Local Records Management Division at 512-452-9242.

Formatting: When duplicating this form electronically, leave at least a ¾ inch in the top and left margins. Use 10 point font and larger for the data entered into the schedule.

- Field 1** Enter the page number and the total number of pages in the retention schedule (i.e., 1 of 15).
- Field 2** Enter the 3-digit Agency Code assigned by the Comptroller of Public Accounts.
- Field 3** Enter the complete name of your agency.
- Field 4** Enter the item number for the records series from the *State Records Retention Schedule* (RRS). If the records series title is not included in the RRS, enter the numbers of the appropriate "Category" and "Section" from the RRS where it should be listed. Category and Section Numbers are at the top of the page in the RRS. If the records series cannot be matched to a category and section, then leave Field 4 blank.
- Field 5** Enter the number that has been assigned by your agency to the corresponding records series. If numbers have not been assigned, then begin with number 1 for the first listing and continue in numerical order.
- Field 6** Enter the official title of the records series (i.e., W-4 Forms, Labor Statistics Report, Surety Bonds). The official title that you assign to the records series does not have to be the same as the records series title listed in the RRS.

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



STATE SECURITIES BOARD

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form

1. Page 51 of 51

2. Agency Code	312	3. Agency Name					Texas State Securities Board				
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title			7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.	
					Agency	Storage	Total				9. Remarks

Field 7 Enter the retention period the records series is to be retained in active use at the agency, the number of years it is to be retained in an inactive storage facility, such as the State Records Center, and the total of the two amounts. If a retention period is less than one year, enter the number of months. Refer to the retention codes at the bottom of the form.

Field 8 Using the archival codes at the bottom of the form, indicate the archival value, if applicable, of the records series:
 A - Used with records series that will be transferred to the State Archives and do not require a prior review by the State Archivist.
 R - Used with records series that have undetermined archival value, and require a review by the State Archivist prior to being transferred to the State Archives.

Field 9 Enter any statute references, other legal citations, or agency policy used as a basis for the retention period.

Field 10 If this records series is stored at the State Records Center, enter the RMD 106 Storage Approval Number.

Field 11 DO NOT WRITE IN THIS FIELD. TSLAC USE ONLY.

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