



November 14, 2018

Travis J. Iles
Deputy Commissioner
State Securities Board
208 E. 10th St., Rm. 610
Austin, TX 78701

Re: Agency records retention schedule approved for use.

Dear Mr. Iles,

Your agency's records retention schedule is approved for use as of November 7, 2018. Your currently approved records retention schedule is available on our website at <https://www.tsl.texas.gov/slrn/state/schedules.html>. Please ensure that all old copies of the schedule are superseded with this recertified copy.

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

Each agency schedule must be reviewed, updated and submitted for recertification annually for the first two years after the initial approval of the schedule and every five years thereafter. The deadline for submission of your schedule for its next recertification is the last working day of November, 2023.

During a certification period, changes may need to be made to your schedule. State regulations (13 TAC §6.4) also allow for the submission of amendments to the retention schedule as needed to keep the information in the schedule current. If you are not familiar with the amendment process, or if you have any other questions, please contact the Government Information Analyst assigned to your agency, Benjamin Barlow at 512-463-5448 or bbarlow@tsl.texas.gov.

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

Sincerely,

Craig Kelso
Director and State Records Administrator

cc: Agency head

Lorenzo de Zavala
State Archives and
Library Building

1201 Brazos Street
Austin, Texas
78701

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

www.tsl.texas.gov

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TSLAC

*Preserving yesterday
Informing today
Inspiring tomorrow*



STATE OF TEXAS
Records Retention Schedule Certification

SLR 105C

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

Section 1. Agency Information

(Submitting agencies complete this section only)

Agency Code 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)* Travis J. Iles

Date July 11, 2018

Section 2. Approvals

(Submitting agencies do not write in this section)

State Auditor's Office

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

Signature

~~Not Required at This Time~~

Name *(Print or type)*

Date

Texas State Library and Archives Commission

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

Signature

Name *(Print or type)*

Gloria Mera

Date

11/7/18

Cert/Recert No.

9

Amendment No.

CAUTION

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

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





STATE OF TEXAS
Records Retention Schedule

SLR 105
 Rev. 2017-07

Retention Codes (field 7)

AC – See field 9 for specific records series definition
 AV – Administratively valuable
 CE – Calendar year end
 FE – Fiscal year end
 LA – Life of Asset
 PM – Permanent
 US – Until Superseded

Archival Codes (Field 10)

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

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3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
1	1.1.002	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=Publication or release of final audit findings.		The State Auditor's Office retains any copies of audits performed by that agency.	
2	1.1.004	Legislative Appropriations Requests	Including any supporting documentation created and/or used to justify and support legislative appropriations requests by an agency	AC	6			AC=September 1 of odd-numbered calendar years.	A	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.	
3	1.1.006	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=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.	



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4	1.1.007	Correspondence-Administrative	Incoming/outgoing and internal correspondence pertaining to the formulation, planning, implementation, interpretation, modification, or redefinition of the programs, services, or projects of an agency and the administrative regulations, policies, and procedures that govern them.		4				R	ARCHIVES NOTE: Only the administrative correspondence of executive staff, board or commission members, division directors and program heads require archival review. Contact the State Archives when these records have met their retention periods.	
5	1.1.008	Correspondence-General	Non-administrative incoming/outgoing and internal correspondence, in any media, pertaining to or arising from the routine operations of the policies, programs, services, or projects of an agency.		2					Review after expiration of retention period for continuing administrative value.	



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6	1.1.013	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	CE	1				R	Only records of board members and executive officer, require archival review. 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.		
7	1.1.014	Legal Opinions and Advice	From agency legal counsel or the Attorney General, including any requests eliciting the opinions.	AV					R	CAUTION: Does not include legal opinions or advice rendered on a matter in litigation or with regard to pending litigation. SEE item number 1.1.048.		



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8	1.1.019	Public Relations Records	News, press releases, or any public relations files maintained or issued by an agency. Includes print, electronic, audio, and audiovisual records.		2				R			
9	1.1.020	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=Date request fulfilled.				
10	1.1.021	Public Information Requests-Exempted	Includes all correspondence and documentation relating to requests for records that are exempt under the Public Information Act.	AC	2			AC=Date of notification that records are exempt.				
11	1.1.023	Organization Charts		US					A			
12	1.1.024	Plans and Planning Records	Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC	3			AC=Decision made to implement or not implement result of planning process.	R	ARCHIVES NOTE: Data processing planning records are not archival.		



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13	1.1.026	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						Note: Agency policy set retention period longer than TSLAC minimum.	
14	1.1.027	Proposed Legislation	Drafts of proposed legislation and related correspondence.	AV							
15	1.1.038	Customer Surveys	Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC	3			AC = When summary report is completed.		Review after expiration of retention period for continuing administrative value.	
16	1.1.040	Speeches, Papers and Presentations	Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC				AC= End of term in office or termination of service in a state position.	R	Review after expiration of retention period for continuing administrative value.	
17	1.1.043	Training Materials	Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US	1						



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18	1.1.048	Litigation Files	Records created by or on behalf of an agency in anticipation of or in the adjudication of a lawsuit.	AC	10			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.	R	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.	
19	1.1.053	Registration Logs	Logs or similar records used to register persons appearing before state agencies as required by Chapter 2004, Government Code, including quarterly reports filed with the Texas Ethics Commission.	AC				AC=Report filed with the Texas Ethics Commission			
20	1.1.055	Strategic Plans	Information resources and operational strategic plans prepared in accordance with §2054.095 and §2056.002, Government Code.	AC	6			AC=Sept. 1 of odd-numbered calendar years.	A	Archival requirement met by sending copies to Texas State Publications Depository Program, Texas State Library and Archives Commission.	
21	1.1.056	ADA(Americans with Disabilities Act) Documentation	Self evaluations and plans documenting compliance with the requirements of the Americans with Disabilities Act.		3						28 CFR 35.105 (c)



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22	1.1.057	Transitory Information	Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. 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.	AC				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).	



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23	1.1.058	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					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.	
24	1.1.059	Meetings, Certified Agendas or Tape Recordings of Closed	Certified agendas or tape recordings of closed meetings of state boards, commissions, committees, and councils.	PM						Note: Agency policy set retention period longer than TSLAC minimum.	Government Code, 551.104(a).



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25	1.1.060	Meetings, Audio or Videotapes of Open	Audio or videotapes of open meetings of state boards, commissions, committees, and councils.	PM						Note: Agency policy set retention period longer than TSLAC minimum. CAUTION: Minutes of state agencies are permanent records. Agency treats audio and videotapes as 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 comment at item number 1.1.058.	



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26	1.1.062	Meetings--Supporting Documentation	Documents submitted at meetings of state boards, commissions, committees, and councils including exhibit items, documentation for agenda items, etc. Includes documents sent in advance of meetings for briefing purposes, some of which may not be submitted at an actual meeting.	PM					A	Note: Agency policy set retention period longer than TSLAC minimum.		
27	1.1.063	Staff Meeting Minutes and Notes	Minutes or notes, and supporting documentation taken at internal agency staff meetings.		1							
28	1.1.064	Agency Performance Measures Documentation	Any records of an agency needed for the documentation of output, outcome, efficiency, and explanatory measures in an agency's appropriations request or strategic plan, and for performance measures used to manage the agency.	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.		



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29	1.1.065	Reports and Studies (Non-Fiscal)-Raw Data	Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV						CAUTION: Does not include source documentation used for information or data included in or directly related to another records series in this schedule. SEE especially item number 1.1.064.	
30	1.1.066	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= Sept. 1 of odd-numbered calendar years.	A	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.	
31	1.1.068	Reports on Performance Measures	Quarterly and annual reports on agency performance measures submitted to executive and legislative offices.	AC	6			AC = Sept. 1 of odd-numbered calendar years.			
32	1.1.069	Reports- Activity	Reports compiled by agency personnel on a daily or other periodic basis pertaining to workload monitoring, task completion times, number of public contacts, and similar activities.		1						



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



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36	1.1.073	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 = Last action.	R	Note: Agency policy set retention period longer than TSLAC minimum.		
37	1.1.074	Sunset Review Report and Documentation		AC	3			AC = After the subsequent Sunset Review. Review after expiration of retention period for continuing administrative value.	R			
38	1.2.001	Destruction Authorizations	Agency level documents authorizing final disposition of records under a certified records retention schedule.	FE	3							
39	1.2.003	Forms History File	Print masters of original version and all subsequent revisions to an agency form, including any associated design or design modification requests.	AC	1			AC = Discontinuance of use of form.				
40	1.2.004	Forms Inventory	Any periodic listing of all forms used internally or externally by an agency.	US								



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41	1.2.005	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						Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission.		
42	1.2.006	Records Transmittal Forms	Agency copy. Forms indicate records transferred to storage or transfer of legal custody.	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.				
43	1.2.008	Request for Authority to Dispose of State Records (RMD 102)	Agency copy.	FE	3					Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission.		



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44	1.2.010	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						
45	1.2.011	Record Center Storage Approval Forms (106)	Agency copy.	US							
46	1.2.012	Records Inventory Worksheets		US							
47	1.2.013	Records Control Locator Aids	Includes indexes, card files, shelf lists, registers, guides, etc.	AC				AC = When control aid is updated, revised, or no longer needed.		CAUTION: These records must carry the same retention period and archival code of the records they support.	



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



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49	1.3.002	Publication Development Files	Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV					R		
50	2.1.001	Processing Files	Machine-readable files used in the creation, utilization, and updating of master files.	AC				AC = Completion of 3rd verification cycle, or audit completion confirming successful transaction processing, or required audit trail maintenance, or the ability to restore or migrate when errors are detected or when hardware or software changes occur.		CAUTION: Records management officers must be certain before assigning the retention period of AC to agency automated processing files that the files do not fall under records series listed elsewhere.	



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51	2.1.002	Master Files	Relatively long-lived computer files containing organized and consistent sets of complete and accurate electronic records. Examples include, but are not limited to, data tables of relational databases used by applications or computer programs.	AC				AC = Completion of 3rd verification cycle, or audit completion confirming successful transaction updates, or required audit trail maintenance, or the ability to restore or migrate when errors are detected or when hardware 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.	
52	2.1.007	Software Programs	Automated software applications and operating system files including job control language, program listing/ source code, etc.	AC				AC = Until electronic records are transferred to and made 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.		CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.	13 TAC 6.94



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53	2.1.008	Hardware Documentation	Records documenting operational and maintenance requirements of computer hardware such as operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems.	AC				AC = Until electronic records are transferred to and made 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.		CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.	13 TAC 6.94



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54	2.1.009	Technical Documentation	Records adequate to specify all technical characteristics necessary for reading or processing of electronic records and their timely, authorized disposition including documentation describing how a system operates and necessary for using the system such as user guides, system or sub-system definitions, system specifications, input and output specifications, and system flow charts; program descriptions and documentation such as program flowcharts, program maintenance logs, change notices, and other records that document modifications to computer programs; and data documentation necessary to access, retrieve, manipulate, and interpret data in an automated system such as a data element dictionary, file layout, code book or table, and other records that explain the meaning, purpose, structure, logical relationships, and origin of the data elements.	AC				AC = Until electronic records are transferred to and made 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.		CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.	13 TAC 6.94



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55	2.2.001	System Monitoring Records	Electronic files or automated logs created to monitor computer systems such as print spool logs, console logs, tape activity logs, etc.	AV								
201	2.2.004	Computer Job Schedules and Reports	Schedules or similar records showing computer jobs to be run and other reports by computer operators or programmers of work performed.			3						
56	2.2.010	Data Processing Policies and Procedures	Manuals, guidelines, or similar documents establishing data processing policies and procedures in an agency in such areas as access and security, systems development, data retention and disposition, data ownership, production control, system back-up, etc.	US	3					CAUTION: Does not include technical documentation of procedures necessary for reading or processing of electronic records. SEE item number 2.1.009.		
57	2.2.011	Batch Data Entry Control Records	Forms and logs used to reconcile batches submitted for processing against batches received and processed.	AC				AC = When reconciliation confirmed.				
58	2.2.012	Output Records for Computer Production	Reports showing transactions that were accepted, rejected, suspended, and/or processed.	AV								



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62	3.1.002	Applications for Employment - Hired	Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement. .	AC	10			AC = Termination of employment. Note: Agency policy set retention period longer than TSLAC minimum			
63	3.1.011	Employee Insurance Records	Agency copies of information relating to the selection by employees of life, disability, health, and other types of insurance offered by the State of Texas to its employees.	AC	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.	
64	3.1.012	Employment Opportunity Announcements	Internal or external announcements or advertisements of job openings, promotions, training programs, or opportunities for overtime.		5					Note: Agency policy set retention period longer than TSLAC minimum.	29 CFR 1602.31.



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65	3.1.014	Employment Selection Records	Includes notes of interviews with candidates, questions asked of applicants, audio and videotapes of job interviews, driving record and previous injury checks, pre-employment physical examinations, pre-employment drug screening test results, polygraph examination results, and all other records that document the selection process.	AC	2					CAUTION: Does not include criminal history checks. SEE item number 3.1.026.	29 CFR 1602.31
66	3.1.018	Grievance Records	Records relating to the review of employee grievances against personnel policies, working conditions, etc.	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.	
67	3.1.019	Performance Appraisals		AC	10			AC = Termination of employment.		Note: Agency policy set retention period longer than TSLAC minimum.	29 CFR 1620.32(c).



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68	3.1.021	Personnel Disciplinary Action Documentation	Disciplinary actions are those actions which may affect pay, status, or tenure. They are imposed to discipline an employee whose conduct is harmful to the best interests of the state, the agency, or the employee work force, and for failure to improve performance or conduct following imposition of corrective action. May include cause for demotion, suspension, or dismissal, and the reasons for failure to give written notice of resignation. May also be used to document evidence of employee self-improvement efforts, as well as favorable and unfavorable communication.	AC	5			AC = Termination of employment. Note: Agency policy set retention period longer than TSLAC minimum.			



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69	3.1.022	Personnel Information or Action Forms	Forms or similar records used to create or change information concerning the records of an employee including pay grade, position classification, employee number, evaluation date, and termination of employment.	AC	10			AC = Termination of employment.		Note: Agency policy set retention period longer than TSLAC minimum.	29 CFR 1602.31	
70	3.1.023	Position / Job Descriptions	Job descriptions, including all associated task or skill statements, for positions in an agency.	AC	4			AC = Until superseded or job eliminated.			40 TAC 815.106(i).	
71	3.1.026	Criminal History Checks	Criminal history record information on job applicants or agency employees obtained from the Department of Public Safety.	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.		
72	3.1.027	Training and Educational Achievement Records (Individual)	Certificates of completion, transcripts, test scores, or similar records documenting the training, testing, or continuing education achievements of an employee.	AC	10			AC = Termination of employment. Note: Agency policy set retention period longer than TSLAC minimum.				



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73	3.1.029	Employment Eligibility, Documentation or Verification	Federal reporting form (INS I-9)	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).
74	3.1.031	Employee Benefits - Other than Insurance	Agency copies of information relating to the selection of available benefit options other than insurance.	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.	



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75	3.1.038	Public Access Option Form	Form completed and signed by employee or official, or former employee or official, electing to keep home address, home telephone number, social security number, and family information open or confidential under the Public Information Act.	US						See AIN No. 88.	
76	3.1.039	Ombudsman Records	Consultation records, notes, letters, memos, emails, reports and other documentation.	AC				AC = Final decision or matter closed.		CAUTION: Does not include formal complaint filed with EEO. If matter becomes a grievance or the subject of counseling or litigation, or employee is subject to disciplinary action, the records are subject to retention in the appropriate records series. SEE 1.1.048, 3.1.018, and 3.1.021.	
77	3.2.001	Employee Deduction Authorizations	Documentation used to start, modify, or stop all voluntary or required deductions from payroll, including garnishment or other court-ordered attachments.	AC	10			AC = After termination of employment. Note: Agency policy set retention period longer than TSLAC minimum.			



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78	3.2.002	Employee Earnings Records			4						40 TAC 815.106(i).
79	3.2.003	Federal Tax Records	Includes FICA records.	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).
80	3.2.004	Income Adjustment Authorizations	Used to make increases or decreases to employees' gross pay, FICA, retirement, or in the computation of taxes.		4					Note: Agency policy set retention period longer than TSLAC minimum.	29 CFR 516.6(c).
81	3.2.005	W-4 Forms	Employer's copy of the "Employee's Withholding Exemption Certificate."	AC	4			AC = Until superseded, obsolete, or upon separation of employee.			26 CFR 31.6001- 1(e)(2).
82	3.2.006	Wage Rate Tables			2						29 CFR 516.6(a)(2).
83	3.2.007	Unemployment Compensation Records		AC	5			AC = Final unemployment compensation payment submitted			
84	3.2.008	Direct Deposit Application / Authorizations		US							
85	3.2.009	State Deferred Compensation Records		AC	10			AC = Termination of employment.		Note: Agency policy set retention period longer than TSLAC minimum.	



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86	3.3.004	Benefit Plans	Employee benefit plans such as pension; life, health, and disability insurance; deferred compensation; etc., including amendments.	US	1						29 CFR 1627.3(b)(2).	
87	3.3.010	Labor Statistics Reports	Reports providing statistical information on labor force.		3							
88	3.3.011	Former Employee Verification Records	Minimum information needed to verify employment, includes name, social security number exact dates of employment, last known address and most recent public access option form.	PM						Note: Agency policy set retention period longer than TSLAC minimum.		
89	3.3.015	Positions / Job Classification Review File	Records relating to review and monitoring of job classifications within an agency.	US	3							
90	3.3.020	Work Schedules / Assignments	Work, duty, shift, crew, or case schedules, rosters, or assignments.		1							
91	3.3.022	Texas Workforce Commission (TWC) Reports	Reports to the agency from TWC or its predecessor pertaining to employees.		3							



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92	3.3.023	Reimbursable Activities, Requests and Authorizations to Engage in	Requests and authorizations for travel; participation in educational programs, workshops, or college classes; or for other work-related activities for which the expenses of the employee are defrayed or reimbursed.	FE	3						
93	3.3.024	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						
94	3.3.025	Job Procedure Records	Any documents detailing the procedural duties and responsibilities of agency positions on a position-by-position basis.	US	3						



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95	3.3.026	Agency Staffing Reports	Any reports compiled by an agency on aspects of personnel staffing, including listings of all staff by program or name, staff hired during a month, detailed listings of employees within its organizational structure, position vacancies, analysis of turnover rates and seasonality of employment, etc.	US	10					Note: Agency policy set retention period longer than TSLAC minimum.	
202	3.3.027	Aptitude and Skills Tests	Aptitude or skills tests required of job applicants or of current personnel to qualify for promotion or transfer.	US	2					CAUTION: One copy of each different test (different in terms of either questions or administration procedures) should be retained for the period indicated.	29 CFR 1602.31 [State Agencies].
96	3.3.030	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					CAUTION: Does not include hazardous material training records. SEE item number 5.4.007.	



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97	3.3.031	EEO Reports and Supporting Documentation	Includes documentation used to complete EEO reports.		3						29 CFR 1602.32, 1602.39, 1602.41, 1602.48, and 1602.50.
98	3.4.001	Accumulated Leave Adjustment Requests	Used to create employee leave balances, to transfer leave balances when an employee transfers positions, to adjust carry-over balances on August 31, to correct errors on leave accumulation, and to close out leave accounts on separated employees.	FE	3						
99	3.4.002	Leave Status Reports	Cumulative report is issued each pay cycle and provides employee leave status information for each position.	FE	3						
100	3.4.003	Less Than Full-Time Worked Reports	Date and hours.		4						40 TAC 815.106(i)
207	3.4.004	Overtime Authorizations			2						
101	3.4.006	Time Cards and Time Sheets		FE	4					Note: Agency policy set retention period longer than TSLAC minimum.	40 TAC 815.106 (i).



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



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



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123	4.5.005	External Fiscal Reports	Special purpose - i.e. federal financial reports, salary reports, etc. Includes HUB Reports.	FE	3							
124	4.5.006	Annual Operating Budgets	Required by the General Appropriations Act.	FE	3							
203	4.5.007	USAS Reports - Daily		AC				AC = Receipt and reconciliation of monthly report.				
204	4.5.008	USAS Reports - Monthly		AC				AC = Receipt and reconciliation of annual report.				
125	4.5.009	USAS Reports - Annual		FE	3							
126	4.6.002	Reconciliations		FE	3							
127	4.6.003	Cash Counts		FE	3							
128	4.7.001	Accounting Policies and Procedures Manual		US	3							
129	4.7.003	Returned Checks/Warrants/Drafts (Uncollectable)		AC	3			AC = After deemed uncollectable				
130	4.7.004	Capital Asset Records		LA	3							
131	4.7.007	Detail Chart of Accounts	One for all accounts in use for a fiscal year.	FE	3							
132	4.7.009	Fixed Asset Sequential Number Logs		US	3							



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	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							
133	4.7.012	Signature Authorizations	Signature cards or similar records establishing authority of an agency employee to initiate or authorize financial transactions on behalf of an agency.	AC	3			AC= US+FE				
134	5.1.001	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	7			AC = Expiration or termination of the instrument according to its terms.		Increasing retention period for series due to statutory change [Prior retention period -AC+4]	Government Code, 441.1855	
135	5.1.004	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						Review after expiration of retention period for continuing administrative value.		



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136	5.1.005	Postage Records	Records and reports of postage expenses, including postal meter usage.	FE	3							
137	5.1.007	Requisitions for In-Agency/ Inter-Agency Copy/ Printing Service	Includes word processing and data processing.	AV								
138	5.1.011	Photocopier and Telefax Usage Logs & Reports		AV								
139	5.1.012	Charge Schedules / Price Lists	Schedules of prices charged by an agency for services to the public or other agencies, including any documentation used to determine the charges.	US	3							
140	5.1.013	Insurance Policies	For vehicles, equipment, etc.	AC				AC = Expiration or termination of the policy according to its terms.			Government Code, 441.1855	
140a		Insurance Policies	Policies executed, renewed or amended before August 31, 2015.	AC	4							
140b		Insurance Policies	Policies executed, renewed or amended after September 1, 2015.	AC	7			AC = Expiration or termination of the policy according to its terms.				



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141	5.1.014	Office Procedures	Any internally distributed manual, guidelines, or similar records that establish standard office procedures for an agency; for example, agency style manuals, telephone protocols, mail room procedures, print shop and photocopy ordering instructions.	US	1							
142	5.1.015	Correspondence Tracking Records	Any record created by an agency to track any type of incoming and outgoing correspondence or packages by the U.S. Postal Service or by private couriers.		1							
143	5.1.017	Contract Log	List of agency contracts, leases, and agreements including general obligation, land lease, utilities, and construction contracts.	FE	3							
144	5.2.003	Building Plans and Specifications- State Owned	Includes architectural and engineering drawings, profiles, and blueprints.	LA					R			
144a		Building Plans and Specifications - Leased	Includes architectural and engineering drawings, profiles, and blueprints.	AC	2			AC = For leased buildings; termination or cancellation of lease.				
145	5.2.004	Building Space Requests			1							



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146	5.2.007	Damage Reports	Reports of damage to state property.	FE	3							
147	5.2.008	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							
148	5.2.009	Equipment Inventory Detail Report Forms	Updates agency portion of the inventory listing and add, changes, transfers, or deletes items from inventory.	FE	3							
149	5.2.010	Equipment Manuals		LA								
150	5.2.011	Equipment Warranties		AC	1			AC = Expiration of warranty.				
151	5.2.014	Inventory - Annual Physical	Property, equipment, supply verification.	FE	3							
152	5.2.017	Lost & Stolen Property Reports		FE	3							
153	5.2.021	Surplus Property Sale Reports		FE	3							
154	5.2.027	Space Utilization Reports		AV								



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155	5.3.007	Bid Documentation	Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, accepted and rejected bids, and bid tabulation/evaluations.	AC	7			AC= Expiration or termination of the instrument according to its terms or date of denial notification or withdrawal for unsuccessful and nonconforming bids, as applicable.		Increasing retention period for series due to statutory change. [Prior retention period - FE+3]	Government Code, 441.1855
156	5.3.008	Purchasing Logs	Log, register, etc., providing a record of purchase orders issued, orders received, and similar data on procurement status.	FE	3						
157	5.4.001	Accident Reports and Associated Documentation	Accident or occupational disease reports (by supervisors and employees) and other associated reports required to be submitted to the Workers' Compensation division of the Texas Department of Insurance or its predecessors or maintained internally on accident frequency.	CE	5					The Workers' Compensation division of the Texas Department of Insurance retains copies of the reports submitted to it for 50 years.	29 CFR 1904.33.
158	5.4.002	Evacuation Plans	Plans for evacuation of agency facilities in cases of emergency.		US		US				



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



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166	5.4.012	Security Access Records		AC	2			AC = Until superseded, date of expiration, or date of termination, whichever sooner.				
167	5.4.013	Disaster Preparedness and Recovery Plans		US								
206	5.5.001	Billing Detail - Telecommunications (Other Than TEX-AN)	In addition to summary detail, includes any accompanying detailed listing of long distance calls.	FE	3							
168	5.5.002	Long Distance Telephone Logs	Long distance logs created by agencies for internal documentation purposes. Includes any similar logs created for long distance facsimile or electronic transmissions.	AV								
169	5.5.007	Disputed Call Documentation	Documentation relating to disputed long distance calls, including documents evidencing repayment by employees for personal long distance use.	FE	3							
170	5.6.004	License and Driving Record Checks		AC				AC = Until superseded or until termination of employment				
171	5.6.009	Parking Permits or Assignments		US								



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172	--	Inspections & Compliance Reports		AC	5			AC = Date completed.				
173	--	Disciplinary Review File-Registered Individual/Entity		AC	5			AC = Date completed				
174	--	Securities Registration-Securities Files		AC	5			AC = Expiration of permit.				
175	--	Securities Registration-Exemption Filings 5.O		AC	5			AC = Date Filing Accepted.				
176	--	Securities Registration-Reg. D Filings 109.13(k) and 114.4 (b) (1).			5							
178	--	Securities Registration-Exemption Filings 139.14, 139.16, 139.19 and Crowdfunding			5							
179	--	Securities Registration-Covered Securities Filings 114.4(a)(1)			2							
180	--	Dealers and Agents and Investment Advisers & Reps Registration Files		FE	5							



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181	--	Dealers and Investment Advisers Registration History		PM							
182	--	Dealer Exams-Drafts		US							
183	--	Exam Correspondence		AV							
184	--	Dealer Exam Monitor Notebook		FE	3						
185	--	Dealer Registration-Exemption Filings Form 133.29, 133.9			5						
186	--	Dealer and Investment Adviser Split Material		FE	5						
187	--	Staff Services Daily Money Batch Numbers		FE	3						
188	--	Staff Services Refunds		FE	3						
189	--	Enforcement Investigation Files		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.			



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190	--	Enforcement Investigative Suspense Files		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.		
191	--	Inspections and Compliance Investigation Files		AC	10			AC = Investigation completed				
192	--	Complaints on Registered	Dealers/Agents/Investment Advisers and Investment Adviser Representatives	AC	5			AC = Complaint review and administrative sanction process completed.				
193	--	General Exemptions By Sections			11							
194	--	Rules Revisions - General Counsel			30				A			
195	--	Daily Disbursement Detail for Dealers, Investment Advisers and Agents		FE	5							
196	--	Enforcement Database	Electronic database of individuals and entities subject to investigation or enforcement action.	PM								



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197	--	Inspections and Compliance Database	Electronic database of entities subject to inspection, complaints, agent reviews, legal referrals, and inspections completed.	PM							
198	--	Undertaking and Disciplinary Order Records	Documentation of undertakings, notices of hearing, proof of service, administrative fines, and administrative disciplinary orders.	PM							
199	--	Expungement Files	Documentation of requests, reviews, and actions taken on dealer, agent, investment adviser, and investment adviser registration expungement matters.	AC				AC= Date agency review of expungement request is completed.			
200	--	Forwarding Service of Process			3						