



8/10/2016

Rebecca Malcolm
Program Specialist
Department of Information Resources
300 W 15th St, #1300
Austin, TX 78701

Re: Agency records retention schedule amendment approved for use

Dear Ms. Rebecca Malcolm:

Amendment 1 to your agency's 2nd recertification of your records retention schedule is approved for use as of August 8, 2016. Your currently approved records retention schedule and all amendments are available on our website at <https://www.tsl.texas.gov/sirm/state/schedules.html>. Please maintain this amendment with your currently approved schedule so that it can be easily referenced.

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.

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.

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, Emma Martin at 512-512-463-5448 or emartin@tsl.texas.gov.

Sincerely,

Craig Kelso
Director and State Records Administrator

cc: Agency head; State Auditor

Lorenzo de Zavalá
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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Director and Librarian
Mark Smith

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 313
Agency Name Department of Information Resources

(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 Rebecca Malcolm
Name (Print or type) Rebecca Malcolm
Date 02/24/16

Section 2. Approvals

(Submitting agencies do not write in this section)

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

Signature
Name (Print or type) Not Required at This Time
Date

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

Signature Donna Osborne
Name (Print or type) Donna Osborne
Date 8/8/16

Cert/Recert No. 2 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 11

2. 313		3. Department of Information Resources									
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.		
4.2	SS.032b	Purchase Order Files Includes purchase orders, change orders, 3.09 letters used for sole source documentation, approved requisition forms, copies of bid documents, copies of contracts/leases and other documentation which accompanies a purchase. All documents have same retention period.	AC+1	6	AC+7		AC = Expiration or termination of the instrument according to its terms. [At DIR, generally kept to end of fiscal year in which contract expires.]		108	SS.032b	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				



STATE OF TEXAS

Records Retention Schedule Amendment

SLR 122

Form SLR 105C must accompany this form.

1. Page 2 of 11

2. 313		3. Department of Information Resources								
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			Page No.	Agency Item No.	
5.1.001	SS.001	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include procurement files, specifications, affidavits of publication of calls for bids, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. This record series may include the master contract administration file per Texas Comptroller of Public Accounts Contract Management Guide. [Includes quotes, notes on recurring services, non-disclosure statements, correspondence, user profiles, notes on support and signed contracts (record copy). Includes: Statewide Telecom customer files.]	AC+1	6	AC+7	Government Code, 441.1855 AC = Expiration or termination of the instrument according to its terms. [At DIR, generally kept to end of fiscal year in which contract expires.] See also item number 5.3.007. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs.	96-313-034	99	SS.001	C

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AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	MO – Months	A – Transfer to State Archives	R – Review by State Archivist	N – New	C – Changed
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STATE OF TEXAS

Records Retention Schedule Amendment

SLR 122

Form SLR 105C must accompany this form.

1. Page 3 of 11

2. 313		3. Department of Information Resources									
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.		
5.1.001	SS.001b	Texas Portal Contract/Master Work Order Records [Consists of records associated with the TexasOnline or Texas.gov master contract (Texas Electronic Framework Agreement (TEFA)) signed in 2000 and subsequent amendments that established project breakeven, transfer of assets to DIR, a Master Work Order for certain projects, and all associated project files.]	AC+4		AC+4		AC = Expiration or termination of the contract or Master Work Order whichever comes later. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs.		100	SS.001b	D
5.1.001	SS.001c	Master Cooperative Purchasing Contracts [Pertains to multiple contracts for cooperative purchasing awarded for each product/service RFO. Documents include specifications, affidavits of publication of calls for bids, accepted and rejected bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, and bid tabulation/evaluations.]	AC+1	3	AC+4		AC = Date last contract awarded to associated RFO expires or terminates according to the instrument's terms. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs.		100	SS.001c	D

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STATE OF TEXAS

Records Retention Schedule Amendment

SLR 122

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1. Page 4 of 11

2. 313		3. Department of Information Resources									
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.
5.1.001	PR.010	Information Services Project Files Includes customer work orders, bid specifications, bid responses, notifications, amendments, schedules, vendor schedules, requisition and backup documentation. Interagency contracts and vendor schedules are kept separately, filed alphabetically by vendor name. Associated jobs are filed in order numerically by job number.	AC+1	6	AC+7		00-313-041	96	PR.010	C	
5.3.007	SS.031	Bid Documentation Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, accepted and rejected bids, and bid tabulation/evaluations. [Includes bid protests.]	AC+1	6	AC+7			107	SS.031	C	

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STATE OF TEXAS

Records Retention Schedule Amendment

SLR 122

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1. Page 5 of 11

2. 313		3. Department of Information Resources									
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.		
3.1.013	HR.007	Employment Contracts [For temporary workers.]	AC+1	6	AC+7		Government Code, 441.1855 AC = Expiration or termination of the contract according to its terms.		73	HR.007	C
5.1.001	MA.027	Texas Online Budget/Financial Oversight - Projects Approved Used to track budget amendments created by Texas Online (TXO) project work orders and new contracts. Includes TXO Project Budget Approvals; TXO Labor Reports; TXO Financial Statements; TXO Purchase Orders-Approved; TXO Project Approval Requests - Approved, TXO Opportunity Proposals-Approved; and TXO New Opportunity Requests-Approved	AC+2	5	AC+7		AC = Expiration or termination of the contract or Master Work Order whichever comes later.		94	MA.027	C

Retention Codes (Field 7)			Archival Codes (Field 8)		Amendment Codes (Field 12)	
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STATE OF TEXAS

Records Retention Schedule Amendment

SLR 122

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1. Page 6 of 11

2. 313		3. Department of Information Resources									
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.		
0.1	MA.028	Texas Online Budget/Financial Oversight - Projects Denied Used to track budget amendments created by Texas Online (TXO) project work orders and new contracts. Includes TXO Purchase Orders-Denied; TXO Project Approval Requests-Denied; TXO Opportunity Proposals-Denied; TXO New Opportunity Requests-Denied	AC+1	6	AC+7		AC = Expiration or termination of Texas Online contract (not Master work order)		94	MA.028	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	R – Review by State Archivist	N – New	C – Changed
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STATE OF TEXAS

Records Retention Schedule Amendment

SLR 122

Form SLR 105C must accompany this form.

1. Page 7 of 11

2. 313		3. Department of Information Resources								
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			Page No.	Agency Item No.	
5.2.008	SS.014	Property Management [At DIR, used for Texas State Record Retention Schedule (TSRRS) records series (5.2.008) Equipment History File; Equipment Service Agreements. Includes TSRRS records series: (5.2.011) Equipment Warranties; (5.2.016) Inventory System Update Listings; (5.2.017) Inventory, Notices of Equipment Removed From; (5.2.018) Lost & Stolen Property Reports] Includes requests for installation, moves, service, etc.; and service/repair logbooks, etc. [Record copies of fax and copier repair purchase orders are held by Accounts Payable; includes equipment warranties; pager inventory listing.]	LA+1	6	LA+7	All audit requirements will be met prior to disposal. Government Code, 441.1855		104	SS.014	C
4.2.005	FS.011	Expenditure Vouchers (Purchase Vouchers) Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc. [Although purchase vouchers are accounts payable information, use FS.011, rather than FS.001, to expedite storage process.]	FE+1	2	FE+3	CAUTION: For a purchase voucher related to a contract see 5.1.001.	94-313-014	52	FS.011	C

Retention Codes (Field 7)

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

Archival Codes (Field 8)

A – Transfer to State Archives
R – Review by State Archivist

Amendment Codes (Field 12)

N – New
C – Changed
D – Deleted



STATE OF TEXAS

Records Retention Schedule Amendment

SLR 122

Form SLR 105C must accompany this form.

1. Page 8 of 11

2. 313		3. Department of Information Resources									
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.
4.7.008	AD.087a	<p>Grant Records [Includes documentation about federal grants awarded to DIR. May be in geographic information system (GIS) area.]</p> <p>This series documents state and federal grant projects participated in or administered by state agencies. It includes grant authorization records, which provide evidence of the award of grants to or by agencies; grant/project financial or performance reports, which are periodic reports of financial activity and/or program performance related to grants received or made by agencies.</p>	AC+1	6	AC+7	<p>Government Code, 441.1855 AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (the Common Rule).</p> <p>CAUTION: Retention requirements may vary depending on the specific federal funding agency. Agencies must ensure that records are retained for the appropriate retention period.</p>		29	AD.087a	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	R – Review by State Archivist	N – New
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STATE OF TEXAS

Records Retention Schedule Amendment

SLR 122

Form SLR 105C must accompany this form.

1. Page 9 of 11

2. 313		3. Department of Information Resources									
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.
4.7	AD.087	Grants - non-Federal [Includes documentation about non-federal grants awarded to DIR.]	AC+1	2	AC+3	AC=after completion of grant project. Uniform Administrative Requirements for grants and cooperative agreements to state and local governments (the Common Rule). Retention requirements may vary in the Code of Federal Regulations for a specific funding source.		29	AD.087	D	
5.1.013	SS.071	Insurance Policies For vehicles, equipment, etc.	AC+7		AC+7	Government Code, 441.1855 AC = Expiration or termination of the policy according to its terms.		116	SS.071	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	R – Review by State Archivist	N – New
AV – Administrative Value	FE – Fiscal Year End	PM – Permanent			C – Changed
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STATE OF TEXAS

Records Retention Schedule Amendment

SLR 122

Form SLR 105C must accompany this form.

1. Page 10 of 11

2. 313		3. Department of Information Resources									
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.		
5.3.009	SS.033	Preliminary Procurement Information Requests At DIR, used for TSRRS Requests for Information. Requests for information preliminary to the procurement of goods or services by direct purchase or bid.	AC		AC		AC = Date of direct purchase, or decision not to proceed with the procurement, as applicable. CAUTION: If the request for information leads to request for proposal or bid, see item number 5.3.007.		108	SS.033	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				



January 17, 2012

Mr. Thomas Johnson
Public Information Officer
Department of Information Resources
300 W. 15th St., #1300
Austin, TX 78701

RE: Department of Information Resources
Retention schedule approved for use.

Dear Mr. Johnson:

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 January 2015. If you have any questions, call the information analyst assigned to your agency, Sarah Jacobson, at 512-463-5449.

Sincerely,

Sarah Jacobson
Manager, Records Management Assistance

Enclosure

cc: State Auditor, State Archivist
cc: (without enclosure) Karen Robinson

State and Local
Records Management

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

4400 Shoal Creek Blvd.
Austin, Texas
78756

www.tsl.state.tx.us

Commission Chairman
Sandra J. Pickett

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Sharon T. Carr
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Wm. Scott McAfee
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Michael C. Waters

Director and Librarian
Peggy D. Rudd

Assistant State Librarian
Edward Seidenberg

*Making
information
work
for all
Texans*

R01-313/313



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 313

Agency Name Texas Department of
Information Resources

(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 *Martha E. Richardson*

Name *(Print or type)* Martha E. Richardson

Date 11-29-2010

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 *Peggy D. Rudd*

Name *(Print or type)* Peggy D. Rudd

Date 1/10/12

Recertification No. 2 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

Form SLR 105C must accompany this form.

1. Page 1 of 118

2. Agency Code 313		3. Agency Name Texas Department of Information Resources								
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	AD.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. [At DIR includes internal audits and audits performed by the State Auditor's Office and the Comptroller of Public Accounts.]	AC+1	6	AC+7		AC = Publication or release of final audit findings. The State Auditor's Office retains any copies of its audits performed on Texas state agencies.			
1.1.006	AD.006	Complaint Records Complaints received by an agency from the public concerning the agency and records pertaining to the resolution of the complaint.	AC+1	1	AC+2		AC = Final disposition of the 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.			

Retention Codes (Field 7)						Archival Codes (Field 8)				
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AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded	R – Review by State Archivist						



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 2 of 118

2. Agency Code 313		3. Agency Name Texas Department of Information Resources							
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				
1.1.007	AD.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.	1	2	3	R	<p>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.</p> <p>CAUTION: This records series and item number 1.1.008 should be used only for correspondence that is not included in or directly related to another records series on the agency's approved schedule. For example, a memorandum that documents an appropriations request must be retained for the minimum retention period prescribed by item number 1.1.004; a letter concerning an audit for that prescribed by item number 1.1.002, etc.</p> <p>SEE ALSO item number 1.1.011.</p>	11-313-067	

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STATE OF TEXAS
Records Retention Schedule

SLR 105

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1. Page 3 of 118

2. Agency Code 313		3. Agency Name Texas Department of Information Resources							
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			Agency	Storage	Total				
1.1.008	AD.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. [At DIR, Incoming/Outgoing letters, memoranda, faxes, e-mail, etc. relating to routine correspondence, general inquiries, surveys, and requests for materials.]	1		1		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010. [Caution: Correspondence related to programs, projects, legislation, etc. must be kept for the full retention period of the pertinent record series. Electronic copy to be destroyed at the same time as paper records.]		
1.1.010	AD.010	Directives Any document that officially initiates, rescinds, or amends general office procedures.	US+1		US+1				
1.1.011	AD.011	Executive Orders Any document that initiates, rescinds, or amends a regulation, policy, or procedure that governs the programs, services, or projects of an agency.	US+1	2	US+3	A			

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Records Retention Schedule

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1. Page 4 of 118

2. Agency Code 313		3. Agency Name Texas Department of Information Resources							
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	AD.013	Calendars, Appointment and Itinerary Records Calendars, appointment books or programs, and scheduling or itinerary records, purchased with state funds or maintained by staff during business hours that document appointments, itineraries and other activities of agency officials or employees. [Includes electronic calendaring system.]	CE+1		CE+1	R	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the State Archives when these records have met their retention periods. CAUTION: A record of this type purchased with personal funds, but used by a state official or employee to document his or her work activities may be a state record and subject to this retention period. See Open Records Decision 635 issued in December 1995 by the Attorney General.		

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	



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Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

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2. Agency Code 313		3. Agency Name Texas Department of Information Resources								
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					
1.1.014	AD.014	Legal Opinions and Advice / Attorney General From agency legal counsel or the Attorney General, including any requests eliciting the opinions. [Confidential communications between a client (DIR) and attorney (Attorney General's office).]	AC+1	4	AC+5	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. AC= date attorney decides to close files. Non-restricted information sent to State Archivist for review.	02-313-057		
1.1.014	AD.015	Legal Opinions and Advice / In-house Communications From agency legal counsel or the Attorney General, including any requests eliciting the opinions. [Confidential communications between a client (DIR) and In-house Attorney. Includes background (factual) information and legal conclusions/opinions. Does not include requests to or responses from the Attorney General's Office.]	AC+1	4	AC+5	R	AC=date attorney decides to close files. Non-restricted information sent to State Archivist for review.	02-313-058		

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					



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SLR 105

Form SLR 105C must accompany this form.

1. Page 6 of 118

2. Agency Code 313		3. Agency Name Texas Department of Information Resources							
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	AD.016	Meeting Agenda And Minutes Official agenda and minutes of state boards, committees, commissions, and councils that conduct open meetings as required by Government Code, Chapter 551. [Includes: attendance records, registration logs, and complete set of documentation that make up DIR Board Books.]	PM		PM	A	<p>ARCHIVES NOTE: Agency retains permanent record copy. The archival requirement will be met by sending a copy to the Archives and Information Services Division, Texas State Library and Archives Commission.</p> <p>CAUTION: This records series and item numbers 1.1.059, 1.1.060, 1.1.061, and 1.1.062 must be used for those state boards, committees, commissions, and councils, which by law or the biennial Appropriations Act, are administered by another state agency. These records and all others related to the functions of any of these dependent entities must be included in the records retention schedule of the administering agency. [Agenda should be filed with record copy of minutes.]</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	



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SLR 105

Form SLR 105C must accompany this form.

1. Page 7 of 118

2. Agency Code 313		3. Agency Name Texas Department of Information Resources						
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			
1.1.061	AD.016b	Meeting - Notes Notes taken during open meetings of state boards, commissions, committees, and councils from which written minutes are prepared.	AC+90 Days		AC+90 Days	AC = Approval of the formal minutes by the governing body. SEE caution comment at item number 1.1.058.		
1.1.063	AD.018	Staff Meeting Minutes and Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1		1			
1.1.019	AD.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. [Includes re-print permission requests and responses for copyright articles.]	2		2	R		
1.1	AD.019a	DIR Scrapbook [News about DIR. Includes: newspaper, magazine, articles about DIR or DIR staff; quotes from DIR staff.]	AV		AV			

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	



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2. Agency Code 313		3. Agency Name Texas Department of Information Resources								
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					
1.1.020	AD.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 (Chapter 552, Government Code). [Includes verification of employment requests from vendors.]	AC+1		AC+1		AC = Date request fulfilled.			
1.1.021	AD.021	Public Information Requests - Exempted Includes all correspondence and documentation relating to requests for records that are exempt under the Public Information Act (Chapter 552, Government Code).	AC+2		AC+2		AC = Date of notification that records are exempt.			
1.1.023	AD.022	Organizational Charts	US		US	A	[Copy sent to State Archives when major re-organizations take place.]			

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					



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2. Agency Code 313		3. Agency Name Texas Department of Information Resources							
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				
1.1.024	AD.023	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. [Includes Data Processing Planning Records; Results from Survey of Organizational Excellence.]	AC+1	2	AC+3	R	AC = Decision made to implement or not to implement result of planning process. ARCHIVES NOTE: Data processing planning records are not archival.	11-313-068	
1.1.064	AD.024	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+1	2	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.		
1.1.026	AD.025	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 to the Texas Register.	AC+1		AC+1		AC = Date of publication in the Texas Register.		

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	



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Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

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2. Agency Code 313		3. Agency Name Texas Department of Information Resources							
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	AD.026	Proposed Legislation - Working Papers Drafts of proposed legislation and related correspondence. [Includes drafts of proposed DIR legislation under development and DIR responses to proposed legislation that impacts DIR.]	AC	4	AC+4		Confidential according to Public Information Act, TEX. GOVT. CODE ANN. Chap. 552.106: drafts and working papers involved in the preparation of proposed legislation.) [AC = Keep current or most recent session, plus previous 2 sessions. Disposition occurs at end of current session. At any one time, records should exist for no more than three sessions.]	11-313-069	

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			



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Form SLR 105C must accompany this form.

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2. Agency Code 313		3. Agency Name Texas Department of Information Resources						
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			
1.3.002	AD.027	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. [Includes working text drafts of Publications projects.]	AV		AV	R	[AV=1 year. Electronic records must be printed on paper for transfer to State Archives. There are several reasons why these files could be archival. Drafts can show the development of agency policy such as a draft with a note from the General Counsel or the Executive Director saying that the Commission wants us to emphasize this or that. "Word-smithing" and punctuation corrections do not make the cut. Sometimes art work -- photo prints, negatives, maps, sketches, other types of art -- may be suitable for re-use or may show the agency in a unique light. The likelihood of evidence of significant policy evolution or reusable art is slight. Message from State Archives on 9/30/2004].	

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	



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2. Agency Code 313		3. Agency Name Texas Department of Information Resources							
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				
1.3.001	AD.028	<p>State Publications</p> <p>One copy of each state publication as defined on page xi of the introduction of this schedule, except a publication that is subject to a different retention period in this schedule. For example, a meeting agenda (see item number 1.1.058) also meets the definition, but it must be retained permanently; item numbers 1.1.004, 1.1.055, 1.1.066, 1.1.068, and 4.5.003, which also meet the definition, are closely associated with the appropriations process and must be retained AC + 6. [STATE PUBLICATION (page x) - Information in any format that is produced by the authority of or at the total or partial expense of a state agency or is required to be distributed under law by the agency, and is publicly distributed. The term does not include information the distribution of which is solely limited to contractors with or grantees of the agency, staff persons within the agency or within other government agencies, or members of the public under a request made under the Public Information Act, Government Code, Chapter 552. The term includes but is not limited to: a publication distributed in print; on microform; as audiovisual material; as interactive media or on electronic external storage device; as an on-line publication; which is an index to other on-line publications; as one or more text, graphic, or other digital files; or as a user interface to a computer database.]</p>	AC+2		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).			

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	



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Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

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2. Agency Code 313		3. Agency Name Texas Department of Information Resources								
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					
1.1.067	AD.029	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities. [Includes Annual Report of Nonfinancial Data (TGC §2101.0115) which covers Schedule of Bonded Employees; Schedule of Space Occupied; Schedule of Professional/Consulting Fees and Legal Service Fees; Schedule of Aircraft Operation; Schedule of Itemized Purchases; HUB Strategic Plan Progress Form; Appropriation Item Transfer Schedule; Schedule of Vehicles Purchased; Indirect Cost Schedule (contain costs allocated to each agency by the Governor's Office in the Statewide Cost Allocation Plan); Schedule of State-Owned or Leased Vehicles Used by State Employees; Schedule of Recycled, Remanufactured, and Environmentally Sensitive Purchases] Also includes reports prepared for, or at the request of, DIR's Board, the Legislature, LBB, other agencies, or governments; generally of short duration. Includes reports prepared for LBB such as bid tabulations and out-of-state vendors. Does NOT include biennial or annual reports covered by AD.030 or reports and studies performed under a project classification such as white papers or issue papers.]	1	2	3	R	ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, A, R, or E. SEE page ix for more information. [May keep until end of fiscal year and dispose of at same time.]			

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					



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Form SLR 105C must accompany this form.

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2. Agency Code 313		3. Agency Name Texas Department of Information Resources							
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	AD.030	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. [At DIR, includes Biennial Report on Information Resources Management (TGC §2054.055) published on November 15, even years. As of 9/1/2009 includes reports on telecommunications (formerly TPOC report), the Texas Online (Texas.gov) project, use on internet-based learning (e-learning) and agency progress in providing access to electronic and information resources to individuals with disabilities. Includes State Strategic Plan for Information Resources Management (TGC §2054.091-.092) which includes telecommunications (TGC §2054.0925). Includes Information Resources Deployment Review (TGC §2054.0965). NOT considered under Publications.]	AC+3	3	AC+6	A	AC = September 1 of odd-numbered calendar years. The archival requirement is met by sending the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission. [Copy goes to the Publications Clearinghouse.]	06-313-063	

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					



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2. Agency Code 313		3. Agency Name Texas Department of Information Resources								
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					
1.1.069	AD.032	Activity Tracking Reports and Logs Used by DIR for 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. [Includes job log or tracking files, tally sheets kept by receptionist, trip reports of seminars, conferences, training classes attended by DIR employees, etc.]	1		1		CAUTION: See item number 1.1.064.			
1.1.040	AD.033	Presentations, Speeches and Published Papers Notes or texts of speeches, papers, or reports delivered in conjunction with agency work. [Includes presentations with "slides" and articles written for publication.]	AC		AC	R	AC = End of term in office or termination of service in a state position.			

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			



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Form SLR 105C must accompany this form.

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2. Agency Code 313		3. Agency Name Texas Department of Information Resources						
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			
1.1.065	AD.034	Reports and Studies (Non-Fiscal) - Raw Data Information or data collected and compiled for the purpose of producing non-fiscal reports. [Includes materials not incorporated into the final report or study that falls into series AD.029, Reports and Studies - Non-fiscal. Includes reports prepared for, or at the request of, DIR's Board, the legislature, LBB, other agencies, or governments; generally of short duration. Includes reports prepared for LBB such as contracts between DIR and vendors for professional services, HUB reports, recycled reports, bid tabulations, out-of-state vendors. Does NOT include biennial or annual reports under AD.030 or reports and studies performed under a project classification such as white or issue papers (except for completed survey forms which will be kept 2 years from the publication date of final deliverable.)]	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	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	



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Form SLR 105C must accompany this form.

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2. Agency Code 313		3. Agency Name Texas Department of Information Resources						
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			
1.1.038	AD.035	Customer Satisfaction Surveys Used for "Customer Surveys." Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance. [Other kinds of surveys are handled under Reports and Studies (Non-fiscal) - Raw Data, DIR item AD.034.	AC		AC	AC = Final disposition of summary report. SEE item number 1.1.067 for summary reports compiled from customer surveys.		

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			



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2. Agency Code 313		3. Agency Name Texas Department of Information Resources								
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	AD.036	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. [At DIR, includes guidelines, directives, administrative rules, policies & procedures issued by DIR to fulfill legislative mandates or its mission. The purpose is usually to identify requirements or impacts on other entities. Includes Continuing Education Guidelines. Does not include white papers or issue papers.]	AC+1	2	AC+3	R	AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, item number 1.1.071. [Chris LaPlante, State Archivist, stated that supporting documentation for TAC rule changes are not subject to deposit in State Archives because material is covered in DIR Board books. 4/2/2003]			

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			



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2. Agency Code 313		3. Agency Name Texas Department of Information Resources							
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				
1.1.071	AD.036b	<p>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.</p> <p>[At DIR, includes guidelines, directives, administrative rules, policies & procedures issued by DIR to fulfill legislative mandates or its mission. The purpose is usually to identify requirements or impacts on other entities. Does not include white papers or issue papers.]</p>	AC+1	2	AC+3	R	AC = Completion or termination of program, rules, policies or procedures. See also item number 1.1.070. [Chris LaPlante, State Archivist, stated that supporting documentation for TAC rule changes are not subject to deposit in State Archives because material is covered in DIR Board books. 4/2/2003]	11-313-070	

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	



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2. Agency Code 313		3. Agency Name Texas Department of Information Resources								
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					
1.1.004	AD.038	Legislative Appropriations Requests Including any supporting documentation created and/or used to justify and support legislative appropriations requests by an agency. [Includes DIR's Information Technology Detail (ITD) required by the Legislative Budget Board.]	AC+2	4	AC+6	A	AC = September 1 of odd-numbered calendar years, the year the Legislature approved the LAR. 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. Only copies of supporting documentation submitted to the Legislative Budget Board are archival.			
1.1.043	AD.039	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves. [Includes manuals & materials such as overheads, handouts, outlines, etc. developed by DIR for training or used when presenting a training class. Includes Continuing Education Guidelines.]	US+1		US+1					

Retention Codes (Field 7)						Archival Codes (Field 8)	
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AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded	R – Review by State Archivist			



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Form SLR 105C must accompany this form.

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2. Agency Code 313		3. Agency Name Texas Department of Information Resources								
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	AD.044	Litigation Files Records created by or on behalf of an agency in anticipation of or in the adjudication of a lawsuit.	AC+1		AC+1	R	AC = As applicable, decision of an agency not to file a lawsuit or decision that a lawsuit will not be filed against it on a matter; dismissal of a lawsuit for want of prosecution or on motion of the plaintiff; or final decision of a court (or of a court on appeal, if applicable) in a lawsuit. 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.			
1.1.068	AD.045	Reports on Performance Measures Quarterly and annual reports on agency performance measures submitted to the executive and legislative budget offices. [Includes Output and Efficiency Measures Report and any other required measurement reports submitted quarterly and/or annually to executive and legislative budget offices.]	AC+3	3	AC+6		AC = September 1 of odd-numbered calendar years. [Agency of origin retains the permanent Record Copy and sends required copies to the Publications Clearinghouse, Texas State Library.]			

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 OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 22 of 118

2. Agency Code 313		3. Agency Name Texas Department of Information Resources								
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					
1.1.059	AD.046	Meetings, Certified Agendas or Tape Recordings of Closed Certified agendas or tape recordings of closed meetings of state boards, commissions, committees, and councils.	AC+1	1	AC+2		AC = The date of the meeting or completion of pending action involving the meeting, whichever is later. Government Code, § 551.104(a). SEE caution comment at item number 1.1.058.			
1.1.062	AD.047	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.	2		2	A	SEE caution comment at item number 1.1.058.			

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			



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Form SLR 105C must accompany this form.

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2. Agency Code 313		3. Agency Name Texas Department of Information Resources						
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	AD.049	Meetings, Audio or Videotapes of Open Audio or videotapes of open meetings of state boards, commissions, committees, and councils.	AC+90 Days		AC+90 Days	AC = Official approval of written minutes of the meeting by the governing body of an agency. 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 ALSO caution comment at item number 1.1.058.		
5.3	AD.050	Vendor Files [At DIR, consists of general information (brochures, literature, etc.) about vendors and their products or services. May include pricing information.]	AV		AV	[AV determined by individual staff.]		

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	



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SLR 105

Form SLR 105C must accompany this form.

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2. Agency Code 313		3. Agency Name Texas Department of Information Resources								
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	AD.051	Reference Files [Consists of general information used to perform job that does not belong to any other record series listed on this schedule. May include information such as handouts obtained at meetings, educational events, or conferences and published articles of general interest to staff. Does not include staff meeting notes.]	AV		AV	[AV determined by individual staff. Legal reference files AV=2 years. May be treated as transitory information and not necessarily recorded in the disposition log.]				
1.2.001	AD.052	Destruction Authorizations Agency level documents authorizing destruction of records under a certified records retention schedule. [Consists of "Permission to Dispose Department Records" form generated by TARMS. Contains list of records to be destroyed with accompanying agency department authorizations.]	FE+3		FE+3	[Retention starts on the date that the records are actually destroyed, whether locally or stored at the State Records Center.]				
1.2.003	AD.054	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			



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SLR 105

Form SLR 105C must accompany this form.

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2. Agency Code 313		3. Agency Name Texas Department of Information Resources								
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	AD.055	Forms Inventory [Not used by DIR.] Any periodic listing of all forms used internally or externally by an agency.	US		US					
1.2.005	AD.056	Records Retention Schedule (SLR 105) Agency copy. Formerly RMD 105. Includes documentation of certification and approval - forms SLR 105C (formerly RMD 105C) and/or other forms designated by the State Records Administrator.	US		US		Original is retained permanently by the State and Local Records Management Division, Texas State Library and Archives Commission.			
1.2.006	AD.057	Records Transmittal Forms Agency copy (includes RMD 101, Tx-R-5, 306-58-1, and Agency Storage Forms). Forms indicate records transferred to storage or a transfer of legal custody.	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	AD.058	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	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	



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SLR 105

Form SLR 105C must accompany this form.

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2. Agency Code 313		3. Agency Name Texas Department of Information Resources								
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					
1.2.010	AD.059	Records Disposition Logs Logs or similar records listing records destroyed or transferred to the Archives and Information Services Division, Texas State Library, showing records series title, dates of records, and date destroyed or transferred.	10		10		Electronic copy is the record copy.			
1.2.011	AD.060	Record Center Storage Approval Forms (RMD 106) Agency copy.	US		US		Original is retained US+5 by SRC division, TSL. Record copies are those returned to DIR after being signed at the State Records Center.			
1.2.012	AD.061	Records Inventory Worksheets	US		US					
1.2.013	AD.062	Records Control Locator Aids Includes indexes, card files, shelf lists, registers, file schemas, 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.			
1.2.014	AD.063	Records Management Plans Records management plans and similar records that establish the policies and procedures under which records and information are managed in an agency.	US+1		US+1					

Retention Codes (Field 7)						Archival Codes (Field 8)	
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AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded	R – Review by State Archivist			



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Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

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2. Agency Code 313		3. Agency Name Texas Department of Information Resources								
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					
1.2.015	AD.064	Disaster Recovery Transmittals (RMD109) Also includes documentation for disaster recovery services provided by other entities. [Includes transmittal forms for sending weekly backup tapes to offsite storage from DROC.]	FE+1		FE+1					
1.2	AD.066	Circulation Receipt Records - Stored Documents [At DIR, consists of circulation request logs and delivery receipts for documents recalled from SRC and checked out by DIR staff.]	FE+2		FE+2		Electronic copy which includes delivery receipt number is the record copy.			
1.2	AD.068	List of Files in Storage Containers [At DIR, consists of container reports generated by TARMS for records stored off-site. Must be kept as long as transmittal forms (RMD 101). Disposal recorded under AD.057 - Records Transmittal Forms. Retain until retention period met and files destroyed.]	AC+2		AC+2		AC = date files are destroyed. Electronic copy is record copy.			

Retention Codes (Field 7)						Archival Codes (Field 8)	
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Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

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2. Agency Code 313		3. Agency Name Texas Department of Information Resources							
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				
1.1.065	AD.074	Research Activity Tracking [Includes reports about research and advisory subscription use by staff and research requests submitted from DIR staff, other governmental staff or the public. Does not include public information requests. Used for planning and reporting.]	FE+3		FE+3		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.		
1.1	AD.080	TSL Publications Clearinghouse Files Used to document DIR publications sent to TSL Publications Clearinghouse to be in compliance with state law.	5		5				
1.1	AD.081	Board Appointments	AC+1	3	AC+4	R	AC=term expired		
1.1	AD.082	Association Memberships [Includes correspondence, materials on DIR's memberships in professional associations (NASCIO, PMI, Smart Card Forum, etc.). Record copy kept by Accounting with expenditure vouchers.]	AC+1	2	AC+3		AC=membership terminated.		
4.7	AD.085	Grant Proposals - Not Awarded [Copies of grant proposals submitted by DIR or agencies supported by DIR to a granting entity. General information about available grants is also included.]	AV		AV		AV = decision of division manager.		

Retention Codes (Field 7)				Archival Codes (Field 8)			
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SLR 105

Form SLR 105C must accompany this form.

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2. Agency Code 313		3. Agency Name Texas Department of Information Resources								
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	AD.087	Grants - non-Federal [Includes documentation about non-federal grants awarded to DIR.]	AC+1	2	AC+3		AC=after completion of grant project. Uniform Administrative Requirements for grants and cooperative agreements to state and local governments (the Common Rule). Retention requirements may vary in the Code of Federal Regulations for a specific funding source.			
4.7.008	AD.087a	Federal Grant Records [Includes documentation about federal grants awarded to DIR. May be in GIS area.]	AC+1	2	AC+3		AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (the Common Rule). CAUTION: Retention requirements may vary depending on the specific federal funding agency. Agencies must ensure that records are retained for the appropriate retention period.			

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	
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SLR 105

Form SLR 105C must accompany this form.

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2. Agency Code 313		3. Agency Name Texas Department of Information Resources							
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	AD.091	IRM Continuing Education Proof of Attendance Sheets [Contains customer signatures that are necessary for proof of earning continuing education credits. Sign-in sheets may also appear in other training or educational events records series.]	2	5	7		International Association of Continuing Education and Training (IACET) Standard - must be kept a minimum of 7 years.		
1.1	AD.094	Educational Events (Class) Evaluations [Includes summary report of class evaluations.]	FE+1	2	FE+3				

Retention Codes (Field 7)						Archival Codes (Field 8)	
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SLR 105

Form SLR 105C must accompany this form.

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2. Agency Code 313		3. Agency Name Texas Department of Information Resources							
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	AD.095	Interagency Committee Meeting Minutes [Includes minutes, correspondence, notes, etc. from an employee's participation on committees, commissions, boards, etc., for which DIR is chair or responsible for maintaining official record copy. Includes minutes from Texas Geographic Information Council, established by the 75th Legislature for FY98, Advisory Committee for the State Strategic Plan; Information Resources Asset Protection Council ; Telecommunications Planning Group; Electronic Government Task Force (established FY99); Quality Assurance Team (established in FY95, transferred to the Legislative Budget Board in FY99, DIR became a member again in FY04.) Includes other similar groups as formed.]	FE+2	2	FE+4	A	[State Archivist, Chris LaPlante requested that minutes be sent to Archives after meeting DIR retention requirements.]	99-313-040	

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	



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Form SLR 105C must accompany this form.

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2. Agency Code 313		3. Agency Name Texas Department of Information Resources						
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	AD.096	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; telephone message notifications; 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. [Includes Payroll Change Listings, New Employees Reports and Petition for Expunction of Records, vendor files used only to obtain information.]	AC		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 sign-offs (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).		

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	
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2. Agency Code 313		3. Agency Name Texas Department of Information Resources							
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	AD.097	Publications Work Order Logbook [Consists of work assignment listings. Maintained by job number.]	AV		AV		AV determined by Publications staff.		
1.1.048	AD.098	Infringement Claims Collection of documents pertaining to notices from companies claiming copyright infringement.	AC+2	2	AC+4	R	AC = Date of notice of alleged infringement		
1.1.072	AD.101	Public Information Reports Reports made to the Office of the Attorney General on an agency's Public Information Act activities.	2		2				
1.1.073	AD.102	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+1	2	AC+3	R	AC = Last action.		
1.1.074	AD.103	Sunset Review Report and Documentation	AC+1	2	AC+3	R	AC = After the subsequent Sunset Review.		

Retention Codes (Field 7)				Archival Codes (Field 8)			
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2. Agency Code 313		3. Agency Name Texas Department of Information Resources								
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					
1.1.075	AD.104	Alternative Dispute Resolutions - Final Agreement Final agreement described by Government Code, §2009.054(c), associated with a matter conducted under an alternative dispute resolution procedure in which personnel of a state agency participated as a party on the agency's behalf.	AC+1	3	AC+4		AC = Date of final agreement. Texas Civil Practice and Remedies Code, Chapter 154.071.			
1.1.041	AD.105	Suggestion System Records Suggestions submitted by agency personnel and responses. [Includes suggestion forms submitted from customers of products, services, and training.]	1		1					
1.1.053	AD.106	Registration Logs [Not used by DIR.] 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			
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2. Agency Code 313		3. Agency Name Texas Department of Information Resources								
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	AD.107	Strategic Plans Information resources and operational strategic plans prepared in accordance with §§ 2054.095 and 2056.002, Government Code. [Includes DIR's strategic plan for information resources management and DIR's Strategic Plan for Governor's Office. Does not include the biennial State Strategic Plan for Information Resources Management (TGC §2054.092) which falls under record series 1.1.066]	AC+1	5	AC+6	A	AC = September 1 of odd-numbered calendar years. The archival requirement is met by sending the required copies of the plans to the Texas State Publications Depository Program, Texas State Library and Archives Commission.	11-313-071		
1.1.056	AD.108	ADA (Americans with Disabilities Act) Documentation Self evaluations and plans documenting compliance with the requirements of the Americans With Disabilities Act.	1	2	3		28 CFR 35.105(c).			
1.2.016	AD.110	Disaster Recovery Service Approval Form (RMD 113) Agency copy of form.	AC		AC		AC = Until superseded or termination of service.			

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					
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2. Agency Code 313		3. Agency Name Texas Department of Information Resources							
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			Agency	Storage	Total				
2.1.001	AU.001	Processing Files [Not used by DIR.] 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			
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2. Agency Code 313		3. Agency Name Texas Department of Information Resources								
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					
2.1.002	AU.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. [At DIR, includes CDI system.]	AC		AC		AC = Completion of 3rd verification cycle, or audit completion confirming successful transaction updates, or required audit trail maintenance, or the ability to restore or migrate when errors are detected or when hardware or software changes occur. CAUTION: Records management officers must be certain before assigning the retention period of AC to agency automated processing files that the files do not fall under records series listed elsewhere.			
2.2.012	AU.004	Output Records for Computer Production [Not used by DIR.] Reports showing transactions that were accepted, rejected, suspended, and/or processed.	AV		AV					

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			
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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			
2.1.008	AU.006	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. [Includes user documentation.]	AC		AC	AC = Until electronic records are transferred to and made usable in a new hardware environment or there are no electronic records being retained to meet an approved retention period that require the hardware to be retrieved and read. 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	
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2. Agency Code 313		3. Agency Name Texas Department of Information Resources								
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	AU.007	Software Programs Automated software applications and operating system files including job control language, program listing/source code, etc. [Includes commercial and customized applications software.]	AC		AC	AC = Until electronic records are transferred to and made usable in a new software environment or there are no electronic records being retained to meet an approved retention period that require the software to be retrieved and read. 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.				
2.2.002	AU.009	Chargeback Records to Data Processing Services Users Not used by DIR. Records used to document, calculate costs and bill program units for computer usage and data processing services. These records are also used for cost recovery, budgeting, or administrative purposes.	FE+3		FE+3	[Retain only if the records support long-range plans and studies.]				

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			



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2. Agency Code 313		3. Agency Name Texas Department of Information Resources							
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				
2.1.009	AU.011	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	AC = Until electronic records are transferred to and made usable in a new hardware or software environment with new documentation or there are no electronic records being retained to meet an approved retention period that require the documentation to be retrieved and read. 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			
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2. Agency Code 313		3. Agency Name Texas Department of Information Resources							
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	AU.012	Demo Hardware/Software/Documentation [Includes hardware, software and documentation used for agency demonstration purposes.]	AV		AV				
2.2	AU.026	Computer-related Help Requests Requests for help with computer systems/applications. [Used for tracking requests for technical assistance and responses to these requests. May be called Help Desk Tickets. Consists primarily of Remedy Database].	3		3				
2.1	AU.029	Texas Agency Records Management System Database Tracks retention schedule, transmittals, disposition, and circulation records.	AC+10		AC+10		AC = No longer input data or use for reports. Need to be sure that archived files can be read by newer versions of software or copy of program stored with archived files. Contains record copy of records disposition list, plus all other records management data files.		

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	
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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			
2.1.002	AU.030	Accounting, Billing, and Time Keeping Database Financial Accounting systems including Purchasing, Project Control, General Ledger, Accounts Payable, and Accounts Receivable. Collects project billing information, labor hours, and produces customer bills. Labor information is also used for agency performance measures.	AC		AC	AC = No longer input or access data or use for reports. Ensure that archived files can be read by newer versions of software, all electronic records have been transferred and made usable in a new system, or a copy of the application is stored with the archived files. Financial Accounting System contains financial information that is normally kept 3 years after fiscal year end.		
2.2	AU.032	Weekly Backup Tapes Includes end-of-week backup tapes for all network servers.	1		1			
2.2	AU.033	Daily Backup Tapes Includes end-of-day backup tapes for all network servers. Kept for 6 weeks, and then rotated.	42 Days		42 Days			
2.2	AU.034	Annual Backup Tapes Includes end-of-year backup tapes for all network servers.	FE+1	1	FE+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			
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2. Agency Code 313		3. Agency Name Texas Department of Information Resources						
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	AU.035	Server Contingency Tapes Backup tapes or other media made before a system upgrade to provide a safety net in case the upgrade creates problems and is needed to restore system functionality.	AV		AV	AV determined by success of upgrade. May need to keep until assured system is working 100%.		
2.1	AU.037	Web Access Logs Data collected to determine number of "hits" to agency web sites. Used to compile monthly web usage statistics.	AV		AV	AV determined by information resources manager.		
2.1	AU.038	Web Usage Statistics [Produced from monthly web access logs. Used for web usage trend analysis.]	AV		AV	AV determined by information resources manager.		
2.1.010	AU.039	Audit Trail Records Files needed for electronic data audits such as files or reports showing transactions accepted, rejected, suspended, and/or processed; history files/tapes; records of on-line updates to application files or security logs.	AC		AC	AC = All audit requirements have been met.		

Retention Codes (Field 7)				Archival Codes (Field 8)	
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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			
2.2.001	AU.040	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	AV determined by Information Resources Manager.		
2.2.013	AU.041	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. [At DIR, includes web server error logs, diagnostic log files used for troubleshooting purposes, etc.]	AC		AC	AC = No longer needed as an audit trail for any records modified.		

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	



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2. Agency Code 313		3. Agency Name Texas Department of Information Resources							
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	AU.042	Information Security Violation Tracking [Consists of electronic files or automated system logs that monitor security violations to servers if needed to provide evidence or for documenting security incidents. Includes intrusion detection logs, firewall logs, server-event logs, and router logs.]	FE+1	1	FE+2		Confidential per Tex. Gov't Code Ann. § 2054.077. Vulnerability Reports		
2.2	AU.043	Security Incident Reporting [Information concerning violations of security policy reported monthly by agencies and universities to DIR in accordance with TAC §202.26 and TAC §202.76. Data collected and summary report produced by the Security Incident Reporting System. Includes DIR internal security incident reports specified in security violation SOPs.]	FE+1	2	FE+3		Confidential per Tex. Gov't Code Ann. § 2054.077. Vulnerability Reports.		
2.2	AU.044	Information Security Assessment Observation Data [Data gathered from assessments (penetration testing) performed on information systems of state agencies, state universities, or local government entities. Includes data logs.]	AC+3		AC+3		AC=date publication report based on collected data is published. Confidential per Tex. Gov't Code Ann. § 2054.077. Vulnerability Reports		

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			



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			Agency	Storage	Total				
2.2	AU.045	Security Reports [Reports on information security assessments (penetration testing) performed by DIR on information systems of state agencies, state universities, or local government entities. Includes report on the status and effectiveness of information resources security controls submitted to the agency head by the Information Security Officer per TAC 202.21 (d) (4) or its successor.]	AC+3		AC+3	AC=date report published. Confidential per Tex. Gov't Code Ann. § 2054.077. Vulnerability Reports.			
2.1.011	AU.046	Finding Aids, Indexes, and Tracking Systems Automated indexes, lists, registers, and other finding aids used to provide access to records. [Includes DIR web index and other locator pages.]	AC		AC	AC = The related records have been destroyed. CAUTION: These records must carry the same retention period and archival code of the records they support.			

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	
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2. Agency Code 313		3. Agency Name Texas Department of Information Resources								
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					
2.2.010	AU.048	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.			
2.2.010	AU.048a	Move Add Change Form Completed forms documenting authorized actions taken on individual employee profiles and access to active directory network.	AC+1		AC+1		AC = termination of employment.			
2.2.014	AU.050	Internet Cookies Data resident on hard drives that make use of user-specific information transmitted by the Web server onto the user's computer so that the information might be available for later access by itself or other servers.	AV		AV		The disposal of Internet cookies need not be documented through destruction authorizations (1.2.001) or in records disposition logs (1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (1.2.014).			

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			
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2. Agency Code 313		3. Agency Name Texas Department of Information Resources								
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					
2.2.015	AU.051	History Files - Web Sites A record of the documents visited during an Internet session that allows users to access previously visited pages more quickly or to generate a record of usage of a state-owned computer.	AV		AV		The disposal of history files need not be documented through destruction authorizations (1.2.001) or in records disposition logs (1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (1.2.014).			
2.2.016	AU.052	Software Registrations, Warranties and License Agreements	LA+3		LA+3					
0	AU.053	Social Networking Communications Consists of content (messages, posts, photographs, videos, etc.) created, submitted or received using a social media application that is strictly a duplicate, transitory in nature, or a record copy of the information exists elsewhere. [At DIR, content is captured routinely from individual social media sites and stored until retention period has expired.] Includes blogs, wikis, Twitter, Facebook, YouTube, Flickr and other related applications.	2		2		Caution: content on a social media application that meets the TGC § 441.180 (11) definition of a State record and is not a duplicate record, transitory or retained elsewhere must be captured by a responsible party and maintained for the full retention period of the appropriate record series. Caution: The State has no control over retention policies of social media sites. State records must be captured and maintained in a system under DIR's control.			

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			



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2. Agency Code 313		3. Agency Name Texas Department of Information Resources							
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			Agency	Storage	Total				
2.1.002	AU.054	NetPlus Application for Telecommunications The NetPlus application tracks all CCTS phones and their connectivity wires, jacks, rooms etc., all the monthly recurring charges for all phones and circuits in both the Capitol Complex and TEX AN, all circuits and long distance numbers for TEX-AN, all the work orders and trouble tickets for DIR customers, prorated charges for work orders and trouble tickets, supplemental charges and credits. NetPlus currently runs in a client/server mode. Client code runs on Windows. Server code runs on the Solaris 8 operating system and Oracle 9iR2 database.	AC		AC		AC = No longer input or access data or use for reports. Ensure that archived files can be read by newer versions of software, all electronic records have been transferred and made usable in a new system, or a copy of the application is stored with the archived files. Most records within NetPlus have an AC+3 retention period.		

Retention Codes (Field 7)				Archival Codes (Field 8)	
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AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded	R – Review by State Archivist	



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2. Agency Code 313		3. Agency Name Texas Department of Information Resources								
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					
4.1.001	FS.001	Accounts Payable Information [At DIR, includes TSRRS records series: (4.1.003) Cancelled Checks/Warrants/Drafts/Stubs; (4.3.003) Expenditure Journals or Registers; (4.4.003) Accounts Payable Ledgers; (4.7.011) Texas Facilities Commission Statements; (5.3.002) Freight Bills Paid. [As of 9/1/2003, includes AP Invoice Posting Summary, Prepare Electronic Checks Edit List, CDI AP Check Posting, Warrant Cancellations, and Void Check Edit List.]	FE+1	2	FE+3			98-313-038		

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



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2. Agency Code 313		3. Agency Name Texas Department of Information Resources							
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				
4.1.002	FS.002	Accounts Receivable [At DIR, used for Billing Detail. Includes TSRRS records series: (4.2.002) Cash Receipts; (4.2.003) Daily Cash Receipt Logs; (4.3.001) Sales Journals or Registers; (4.3.002) Receipts Journal or Registers; (4.4.002) Accounts Receivable Ledgers; (4.6.003) Cash counts; and (4.7.003) Returned Checks/Warrants/drafts (Uncollectible).] [Accounting Department's records include: ITV Receipts, Non-Cash Reports, Cash Refunds, Cash Deposits, Autoload Invoice Summary Listing, Manual Billings - Credit Management, Manual Billings-Project Control, Open Items Transfers, Reversal of Cash Refunds, Telecom/AR Autoload Batches, Write-off Reversals, Write-offs, CDI Nightly Posts, Billing Adjustments-Credit Management, Billing Adjustments-Project Control.]	FE+1	2	FE+3		CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.	95-313-020	
4.1.003	FS.003	Canceled Checks/Stubs/Warrants/Drafts [At DIR, filed in FS.001, Accounts Payable Information (4.1.001).]	FE+3		FE+3				

Retention Codes (Field 7)				Archival Codes (Field 8)			
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			Agency	Storage	Total				
4.2.004	FS.004	Encumbrances [At DIR, used for Encumbrance Vouchers. Includes TSRRS records series: (4.1.004) Encumbrance Detail. Includes Quarterly Reports and Annual Reports with Support Documentation and orders, statements, change orders, etc.]	FE+3		FE+3				
4.1.005	FS.005	Inventory and Other Cost Files Production, job, labor, quotes, pricing, specifications, etc.	FE+3		FE+3				
4.2.005	FS.011	Expenditure Vouchers (Purchase Vouchers) Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc. [Although purchase vouchers are accounts payable information, use FS.011, rather than FS.001, to expedite storage process.]	FE+1	2	FE+3			94-313-014	
4.2.006	FS.012	General Journal Vouchers [At DIR, filed in FS.017, General Ledger (4.4.001).]	FE+3		FE+3				

Retention Codes (Field 7)				Archival Codes (Field 8)	
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			Agency	Storage	Total				
4.2.007	FS.013	Expenditure Vouchers-Travel Travel, payroll, etc. [At DIR, consists of travel vouchers and travel-related supporting documentation. Payroll vouchers are filed in FS.040 Payroll Detail (3.2).]	FE+1	2	FE+3			94-313-018	
4.3.001	FS.014	Sales Journals or Registers [At DIR, filed in FS.002, Accounts Receivable (4.1.002).]	FE+3		FE+3				
4.3.002	FS.015	Receipts Journals or Registers [At DIR, filed in FS.002, Accounts Receivable (4.1.002).]	FE+3		FE+3				
4.3.003	FS.016	Expenditures Journals or Registers [At DIR, filed in FS.001 Accounts Payable Information (4.1.001).]	FE+3		FE+3				

Retention Codes (Field 7)				Archival Codes (Field 8)	
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			Agency	Storage	Total				
4.4.001	FS.017	General Ledger [At DIR includes TSRRS records series: (4.2.006) General Journal Vouchers; (4.5.008) USAS Reports-Monthly; (4.6.001) Balancing Records; (4.6.002) Reconciliations; (4.7.006) Comptroller Statements, (5.5.006) Billing Detail - Telecommunications (TEX-AN). Includes general ledgers and general ledger detail, Source Journal Posts, USAS Journal Entries, CDI Journal Vouchers, USAS/CDI Reconciliations, USAS/ABEST Reconciliations, Monthly Balancing Records, Detail Cost Center Audit Report, Appropriation Trial Balance, Cost Center Responsibility and 1099 reports to vendors.]	FE+1	2	FE+3			95-313-024	
4.4.002	FS.018	Accounts Receivable Ledgers [At DIR, filed in FS.002, Accounts Receivable (4.1.002).]	FE+3		FE+3				
4.4.003	FS.019	Accounts Payable Ledgers [At DIR, filed in FS.001, Accounts Payable Information (4.1.001).]	FE+3		FE+3				

Retention Codes (Field 7)				Archival Codes (Field 8)	
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			Agency	Storage	Total				
4.5.001	FS.021	Budget [At DIR includes TSRRS records series: (4.5.001) Worksheets for Preparing Fiscal Reports; (4.5.002) Internal Fiscal Management Reports; and (4.5.006) Annual Operating Budgets. Consists of Support Documents for Development of Budget, Monthly Budget Reports with Supporting Documentation, and Quarterly Financial Reports. Also includes forecasts for each division each month (generally called monthly financial reports).]	FE+1	2	FE+3				

Retention Codes (Field 7)				Archival Codes (Field 8)	
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			Agency	Storage	Total				
4.5.003	FS.023	Annual Financial Reports Required by the General Appropriations Act (100 Day Report). Includes "External Reports, Special."	AC+2	4	AC+6		AC = September 1 of odd-numbered calendar years. CAUTION: If an agency does not produce a biennial or annual narrative report as described in item number 1.1.066, then these annual financial reports must be marked with Archival Code A. The archival requirement, when a biennial or annual narrative report is not produced, is met by sending the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission.	11-313-072	
4.7.002	FS.032	Travel Advance Fund [At DIR, used for Bank Statements. Includes Advance Log, Bank Statements and Reconciliations, related correspondence.]	FE+1	2	FE+3				
4.7.003	FS.033	Returned Checks (uncollectible) [At DIR filed in FS.002, Accounts Receivable (4.1.002).]	AC+3		AC+3		AC=Issue reconciled.		

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					



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Records Retention Schedule

SLR 105

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2. Agency Code 313		3. Agency Name Texas Department of Information Resources							
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				
4.7.004	FS.034	Capital Asset Records Includes fixed assets and capital purchases.	LA+1	2	LA+3				
4.7.005	FS.035	Claim Files [At DIR, filed in FS.001 Accounts Payable Information (4.1.001).]	AC+3		AC+3		AC=claim satisfied.		
4.7.006	FS.036	Comptroller Statements [At DIR, filed in FS.017 General Ledger (4.4.001).]	FE+3		FE+3				
4.7.007	FS.037	Detail Chart Of Accounts One for all accounts in use for a fiscal year.	FE+1	2	FE+3				
4.7.009	FS.038	Fixed Asset Sequential Number Logs Not used by DIR. Logbooks from Texas Facilities Commission Property System.	US+1	2	US+3				
4.7.011	FS.039	Texas Facilities Commission Statements (TFC) [At DIR, filed in FS.001, Accounts Payable Information (4.1.001).] Charge or bill statements received by agencies from the TFC for services provided.	FE+1	2	FE+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	



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2. Agency Code 313		3. Agency Name Texas Department of Information Resources							
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	FS.040	Payroll Detail [Used to pay employees and to report Federal Income Tax information to the IRS. Includes reports for new hires, merits, promotions, terminations, and part-time employees. The check payment date is the first day of the following month rather than the last day of the current month, so the first file will be labeled December of previous year.]	AC+1	4	AC+5		AC = after payment of taxes.	95-313-027	
3.2.001	FS.040a	Payroll Employee Files [At DIR, includes HR.056, Employee Deduction Authorizations used to start, modify, or stop voluntary or required deductions from payroll for bankruptcy, child support, or tax levies. Other deduction authorizations held by Human Resources Department. Includes W-4 Forms (3.2.005).]	AC+1	3	AC+4		AC = After termination of employee or after amendment, expiration, or termination of authorization, whichever sooner.	09-313-065	
3.2.002	FS.040b	Employee Earnings Records (W-2 Forms) Annual federal tax report.	2	2	4		40 TAC 815.106(i).		
3.2.003	FS.040c	Federal Tax Records Includes 1099, W2, FICA, and other tax records. [At DIR includes 941 reports. Maintained quarterly.]	AC+2	2	AC+4		AC = Tax due date, date the claim is filed, or date tax is paid whichever is later. 26 CFR 31.6001 - 1(e)(2).		

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			



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2. Agency Code 313		3. Agency Name Texas Department of Information Resources								
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	FS.040d	Income Adjustment Authorizations Used to make increases or decreases to employees' gross pay, FICA, retirement, or in the computation of taxes. [Includes copies of Personnel Action Forms (PAF), leave without pay, overtime pay. Determined through CDI time sheets. Record copies of PAFs are maintained by Human Resources department.]	1	1	2		29 CFR 516.6(c).			
3.2.005	FS.040e	W-4 Forms [At DIR, filed in FS.040a, Payroll Employee Files (3.2.001), Employee Deduction Authorizations. Employer's copy of "Employees' Withholding Exemption Certificate."]	AC+2	2	AC+4		AC = Until superseded, obsolete, or upon separation of employee. 26 CFR 31.6001-1 (e)(2).			
3.2.007	FS.040g	Unemployment Compensation Records [Includes workers' compensation & unemployment benefits paid.]	AC+1	4	AC+5		AC = Account is paid out.			

Retention Codes (Field 7)						Archival Codes (Field 8)			
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AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded	R – Review by State Archivist					



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2. Agency Code 313		3. Agency Name Texas Department of Information Resources							
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	FS.040h	Payroll Support Documentation [At DIR, includes TSRRS records series: (3.1.011) Employee Insurance Records and (3.1.031) Employee Benefits - Other than Insurance. [Includes payroll correspondence, bond information, bond register, child support, credit unions, TexFlex, etc.]	CE+1	3	CE+4			00-313-042	
3.2.008	FS.041	Direct Deposit Application/Authorizations [Authorization to initiate and apply for direct deposit.]	US		US				
4.5.007	FS.043	USAS Reports - Daily	FE+1	2	FE+3		[At DIR, daily reports kept for fiscal year rather than reconciling with monthly report.]	96-313-032	
4.5.009	FS.043a	USAS Reports - Annual [Not used by DIR.]	FE+1	2	FE+3				

Retention Codes (Field 7)	Archival Codes (Field 8)
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CE – Calendar Year End FE – Fiscal Year End	LA – Life of Asset MO – Months
PM – Permanent US – Until Superseded	



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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	FS.045	Automated Accounting, Billing, and Time Keeping Data Data in the Financial Accounting system includes General Ledger, Purchasing, Project Control, Accounts Payable, and Accounts Receivable. Collects project billing information, labor hours, and produces customer bills. Labor information is also used for agency performance measures. Used for trend analysis.	AV		AV	AV = determined by financial services division. Attempts to purge obsolete records on an annual basis corrupted data, so practice was abandoned.		

Retention Codes (Field 7)				Archival Codes (Field 8)			
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2. Agency Code 313		3. Agency Name Texas Department of Information Resources							
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				
4.1.002	FS.047	Tex-AN/Capitol Complex Telephone System Billing Detail [Tex-AN billing detail consists of Monthly NetPlus Reconciliation Files. It includes Preliminary, Trial Close, Cycle Close and Final Close Reports. Filed by agency code number. Record copy was on CD-ROM until deployment of NetPlus 6 (7/1/2009). After 7/1/2009, record copy stored electronically in NetPlus system. Billed services include: Long Distance, 800, Routed Data, Dedicated Circuits, Voice Circuits, "Off-to-On", and Other Charges & Credits (OC&C). Capital Complex Telephone System (CCTS) billing history reports consist of annual cumulative customer usage and billing history reports. Billed services include: Call Detail (long distance, operator assistance, collect calls, directory assistance), Equipment Charges (station line charges, voice mailboxes, telephone purchases, automatic call distribution (ACD) service, Callwise), Southwestern Bell Equipment by Agency, and Other Charges & Credits (OC&C). In addition, other usage summary reports such as Credit Card, Circuit Exception, Division Cost Allocation summaries, and miscellaneous equipment reports (0000 & 888) are included.]	FE+1	2	FE+3	CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.	02-313-048		

Retention Codes (Field 7)				Archival Codes (Field 8)	
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2. Agency Code 313		3. Agency Name Texas Department of Information Resources							
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				
4.1.001	FS.051	<p>Telecommunications Service Providers Billing Detail</p> <p>[Not used after 8/31/2008. Records series can be removed from schedule after all records are destroyed. Eligible for disposition on 9/1/2011.]</p> <p>Use FS.001 Accounts Payable Information [Records that detail charges for telephone equipment and services sent to the Telecommunications Division from service providers. Records are used to pay from and to generate customer billing. Also used for verification, validation, and as backup for payment vouchers.] [Consists of Carrier Access Billing (CAB) records which includes Valor- CABS, Verizon CABS and Verizon CRIS, Southwestern Bell CABS, Southwestern Bell Consolidated Accounts, Customer Services Authorization, AT&T (record copy is CD-ROM [Bell Plus CD] containing Access files [manual circuit bills], and Local Exchange Carrier (LEC) companies. Includes SBC Long Distance, SWB Switched Toll Free Service, and SWB Dedicated Toll Free Service (record copy is CD-ROM as of 10/1/2002). Organized by month, company name, account numbers. Also includes CCTS 2733 reports and CCTS SO5 reports (equipment detail reports). MAS-90 Accounting Records (consists of voucher for each bill processed, filed with vendor detail, copy goes to purchasing). Paper copies of 2733 report last received August 2008.]</p>	FE	3	FE+3			02-313-054	

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AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded	R – Review by State Archivist	



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2. Agency Code 313		3. Agency Name Texas Department of Information Resources								
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					
4.1.002	FS.053	Tex-AN/Capitol Complex Telephone Sys. Billing Detail - Raw Data [Consists of raw usage data provided by telecommunications for Tex-an - Intrastate, Interstate, International; SBC - Intrastate, Interstate, International; Megacom 800 which are stored on CDs: AT&T ACUS Billing, AT&T Billing Edge Megacom CDR, AT&T Billing EDGE SDN CDR.]	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.	02-313-056		
4.7.001	FS.054	Accounting Policies and Procedures Manual	US+1	2	US+3					
4.7	FS.055	Credit Card Applications [Consists of agency credit card applications and approvals.]	AC	3	AC+3		AC = Credit card no longer active.			
4.5	FS.056	Statewide Cost Allocation Plan [Required by Governor's office. Used to recover indirect costs from funds outside of General Revenue. Any agency that receives federal funds or has earned revenue must submit their plan to the private company that prepares the report for the Governor's Office.]	AC+2	4	AC+6		AC = September 1 of odd-numbered years.			

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			
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			Agency	Storage	Total				
4.7.012	FS.057	Signature Authorizations Signature cards or similar records establishing authority of an agency employee to initiate or authorize financial transactions on behalf of an agency.	US+F E+1	2	US+F E+3				
4.1.008	FS.058	Electronic Fund Transfers Direct Deposit Registers.	FE+1	2	FE+3				
4.5.005	FS.059	External Fiscal Reports Special purpose - i.e. federal financial reports, salary reports, etc. Includes HUB Reports.	FE+3		FE+3				
4.7.010	FS.060	Long-Term Liability Records Bonds, etc. [Includes agency credit card applications for procurement and travel.]	AC+1	2	AC+3		AC = Retirement of debt.		

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	
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2. Agency Code 313		3. Agency Name Texas Department of Information Resources						
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			
3.1.002	HR.001	<p>Personnel Files [At DIR, used for 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. [At DIR, includes TSRRS records series: (3.1.019) Performance Appraisals; (3.1.020) Personnel Corrective Action Documentation; (3.1.021) Personnel Disciplinary Action Documentation; (3.1.022) Personnel Information or Action Forms; (3.1.027) Training and Educational Achievement Records (Individual); (3.1.037) Employee Recognition Records; (3.3.028) Aptitude and Skills Tests (Test Papers); (3.3.030) Training Administration Records. Records are filed together by employee. Most items are not confidential. Includes DIR records series: Veteran Status Information; Confidential Tax/Vendor Information Agreements (CTIA) from Comptroller.]</p>	AC+1	4	AC+5	AC = termination of employment. All enclosed records to be maintained the full term of the retention period. Includes state records series 3.1.019, 3.1.020, 3.1.021, 3.1.022, 3.1.027, 3.1.037, 3.3.029, 3.3.030 29 CFR 1602.31(a) [State Agencies]. 29 CFR 1602.49(a) [State Universities].	94-313-015	

Retention Codes (Field 7)				Archival Codes (Field 8)	
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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				
3.1.021	HR.001b	Personnel Disciplinary Action Documentation [At DIR, filed in HR.001, Personnel Files (3.1.002).] 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+1	4	AC+5		AC = Termination of employment.		

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			
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			Agency	Storage	Total					
3.1.027	HR.001c	Training and Educational Achievement Records (Individual) [At DIR, filed in HR.001 Personnel Files 93.1.002].] Certificates of completion, transcripts, test scores, or similar records documenting the training, testing, or continuing education achievements of an employee. [Includes authorized reimbursement for tuition assistance requests. Does not include hazardous material training records.]	AC+1	4	AC+5		AC = Termination of employment.			
3.1.037	HR.001d	Employee Recognition Records [At DIR, filed in HR.001, Personnel Files (3.1.002).] Awards, incentives, tenure, etc.	AC+1	4	AC+5		AC = Termination of employment.			

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					
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			Agency	Storage	Total			
3.1.022	HR.001e	Personnel Information or Action Forms [At DIR, filed in HR.001 Personnel Files (3.1.002).] 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. [HR.032 Letters of Authorization to USAS consists of DIR's official notification to the Comptroller's Office to authorize system changes that Comptroller's staff only are authorized to make. Changes DIR staff cannot make.	2		2		29 CFR 1602.31 [State Agencies]. 29 CFR 1602.49(a) [State Universities].	

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			
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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					
3.1.020	HR.001f	Personnel Corrective Action Documentation [At DIR, filed under HR.001, Personnel Files (3.1.002).] Corrective actions are those actions which do not affect pay, status, or tenure and are imposed to correct or improve an employee's job performance.	AC+5		AC+5		AC = Termination of corrective action. CAUTION: If, during the retention period of this records series, any part of this series is used to document and support personnel disciplinary action under item number 3.1.021, all documentation from this series used to support disciplinary action must be retained for the the minimum retention period described by item number 3.1.021.			
3.3.028	HR.001g	Aptitude and Skills Tests (Test Papers) [At DIR, filed in HR.001: Personnel files (3.1.002).] Aptitude and skills test papers of job applicants or of current personnel taking a test to qualify for promotion or transfer.	AC+1	4	AC+5		AC = Termination of employment 29 CFR 1602.31 [State Agencies]. 29 CFR 1602.49 [State Universities].			

Retention Codes (Field 7)						Archival Codes (Field 8)			
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			Agency	Storage	Total					
3.3.030	HR.001h	Training Administration Records [At DIR, filed in HR.001 Personnel Files (3.1.002).] 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.	AC+1	4	AC+5	AC = Termination of employment CAUTION: Does not include hazardous material training records. SEE item number 5.4.007. [DIR keeps all these records in the personnel files so these need to be kept the longer time period.]				
3.4	HR.002	Time/Accounting Codes Accounting codes for employee time reports.	US		US					
3.3.031	HR.003	EEO Reports and Supporting Documentation Includes documentation used to complete EEO reports. [Data sheets collected from all job applicants. They are kept separate from Employment Selection Records.]	1	2	3	CFR 1602.32, 1602.39, 1602.41, 1602.48, and 1602.50.	10-313-066			

Retention Codes (Field 7)				Archival Codes (Field 8)			
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			Agency	Storage	Total			
3.1.014	HR.006	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. [Includes TSRRS records series: (3.1.001) Applications for Employment - Not Hired; (3.1.012) Employment Opportunity Announcements] [Includes Applications, Job Postings, List of Not-Hired Applicants, Writing Samples, Aptitude & Skill Tests/Papers, Newspaper Ads, and Related Material. Filed by job posting number. May be identified as Job Postings]	1	1	2	CFR 1602.31 [State Agencies]. 29 CFR 1602.49(a) [State Universities]. CAUTION: Does not include criminal history checks. SEE item number 3.1.026.	95-313-029	

Retention Codes (Field 7)				Archival Codes (Field 8)	
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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	HR.006a	Applications for Employment - Not Hired [At DIR filed in HR.006 Employment Selection Records (3.1.014).] Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.	2		2	29 CFR 1602.31 [State Agencies]. 29 CFR 1602.49(a) [State Universities].				
3.1.012	HR.006b	Employment Opportunity Announcements [At DIR filed in HR.006, Employment Selection Records (3.1.014).] Internal or external announcements or advertisements of job openings, promotions, training programs, or opportunities for overtime.	2		2	29 CFR 1602.31(a) [State Agencies]. 29 CFR 1602.49(a) [State Universities].				
3.1.013	HR.007	Employment Contracts [For temporary workers.]	AC+1	3	AC+4	AC = Expiration or termination of the contract according to its terms.				
3.1.023	HR.012	Position/Job Descriptions Job descriptions, including all associated task or skill statements, for positions in an agency. [At DIR, Includes TSRRS records series: (3.3.025) Job Procedure Records]	AC+4		AC+4	AC = Until superseded or job eliminated. 40 TAC 815.106(i).				

Retention Codes (Field 7)				Archival Codes (Field 8)			
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AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded	R – Review by State Archivist			



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			Agency	Storage	Total				
3.1.034	HR.015	Resumes - Unsolicited [Not used by DIR.] Retention period applies if an agency replies to the sender of a resume that it will be kept on file should future job openings occur.	AV		AV		SEE item number 3.1.014 for resumes, whether solicited or unsolicited, that are used in any way in the employment selection process.		
3.1	HR.016	Performance Evaluation Oversight Materials used to oversee the employee performance evaluation program.	AV		AV				
3.1.029	HR.017	Employment Eligibility, Documentation or Verification of Federal reporting form (INS I-9).	AC+2	3	AC+5		AC = Termination of employment. CAUTION: Federal regulation requires that INS 1-9 forms be retained for 3 years from date of hire or 1 year after separation of the employee, whichever 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)	
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			Agency	Storage	Total				
3.1.018	HR.018	Grievance Records Records relating to the review of employee grievances against personnel policies, working conditions, etc. [Employee's grievance record is not included in personnel file.]	AC+1	1	AC+2		AC = Final decision on the grievance. CAUTION: Does not include formal complaints filed by an agency employee with the Equal Employment Office (EEO) of the U. S. Department of Labor. See item number 1.1.048.		
3.2.006	HR.021	Pay Scales [Used for TSRRS Wage Rate Tables. Comes from Comptroller's Office or the State Auditor's Classification Office.]	2		2		29 CFR 516.6(a)(2).		
3.3.010	HR.023	Labor Statistics Reports Reports providing statistical information on labor force. [Includes parity reports and workforce utilization analysis and documents used to create the reports.]	1	2	3				

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			Agency	Storage	Total					
3.2.009	HR.024	State Deferred Compensation Records [Applies to both 457 (Deferred Compensation and 401K.)]	AC+1	4	AC+5		AC = All accounts with a vendor or vendors for the individual participant have been closed. For instructions regarding the determination of the closure of accounts and for additional information regarding the retention period see the most current edition of the Benefits Coordinator Reference Manual issued by the Employees Retirement System of Texas.			
3.2.010	HR.025	Human Resources Information System (HRIS) Reports Includes supporting documentation. [Includes EEO4 Report and Veterans Report received from Comptroller's Office.]	AC+1	3	AC+4		AC=completed.			
3.3.004	HR.027	Benefit Plans Employee benefit plans such as pension (retirement); life, health, and disability insurance; deferred compensation; etc., including amendments. [Includes information about health and dental providers, benefit summary reports from ERS, and employee insurance verification information.]	US+1		US+1		29 CFR 1627.3(b)(2)			

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			Agency	Storage	Total				
3.3.026	HR.028	Agency Staffing Reports Any reports compiled by an agency on aspects of personnel staffing, including listings of all staff by program or name; staff hired during a month; detailed listings of employees within its organizational structure, position vacancies, analyses of turnover rates and seasonality of employment, etc. [Includes: New Hires; Separations; Turnovers; Position Control Reports; Position Staffing Reports; Job Vacancy Status Reports; Staffing Forecast Reports (USPS 165 and 168 Reports) and other reports from USPS. Includes Quarterly FTE Reports; Manager to Staff Ratio; and other reports for the Auditor's Office. Includes FY Conversion (Rollover) Data.]	US+1	2	US+3				

Retention Codes (Field 7)						Archival Codes (Field 8)	
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			Agency	Storage	Total				
3.3.011	HR.031	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. [From 1985-1994 can be found in DIR database; since 1994 found in USPS.]	AC+75		AC+75		AC = Termination of employment. See item number 3.1.038.		
3.1.022	HR.032	Letters of Authorization to USAS [Used for "Personnel Information or Action Forms". Consists of DIR's official notification made to the Comptroller's Office to authorize system changes that cannot be made by DIR staff but must be performed by the Comptroller's staff.] 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.	1	1	2		29 CFR 1602.31 [State Agencies]. 29 CFR 1602.49(a) [State Universities].		
3.3.015	HR.035	Positions/Job Classification Review File Records relating to review and monitoring of job classifications within an agency.	US+1	2	US+3				

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			Agency	Storage	Total			
3.3.020	HR.039	Work Schedules/Assignments [At DIR, filed in HR.001: Personnel Files (3.1.002).] Work, duty, shift, crew, or case schedules, rosters, or assignments. [Includes alternative work schedule documentation.]	US+1		US+1			
3.3.023	HR.040	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. [Includes Travel Authorization Requests, Tuition Assistance Requests, requisitions, purchase orders, justification, registration materials for educational events and authorization to reimburse Tuition Assistance Requests.]	FE+1	2	FE+3		SEE FS.013. Included with Travel Voucher.	

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			Agency	Storage	Total			
3.3.022	HR.041	Texas Workforce Commission (TWC) Reports Reports to the agency from TWC or its predecessor pertaining to employees. [Includes reports to DIR from TWC pertaining to employee time and payroll. Also includes log files, created by DIR to compare to TWC's report.]	1	2	3			

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			Agency	Storage	Total					
3.4.001	HR.042	Time Worked and Leave Accumulated Reports [At DIR, used for 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. [Includes TSRRS records series: (3.4.002) Leave Status Reports (cumulative report issued each pay cycle to provide employee leave status information for each position); (3.4.004) Overtime Authorizations; (3.4.005) Overtime Schedules; (3.4.007) Time Off and /or Sick Leave Requests; and (3.4.008) Sick Leave Pool Documentation (requests submitted, approvals, number of hours transferred in and out, etc.)]	FE+1	3	FE+4		40 TAC 815.6(i)	06-313-064		
3.4.003	HR.044	Less Than Full-Time Worked Reports Dates and hours.	1	3	4		40 TAC 815.106(i).			

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			Agency	Storage	Total				
3.4.006	HR.047	Time Reports [At DIR, used for Time Cards and Time Sheets. Includes annual summary time sheets from payroll system and time sheets that document temporary employees' time worked.]	1	3	4		40 TAC 815.106(i).		
3.4.008	HR.049	Sick Leave Pool Donation Documentation [At DIR, filed in HR. 042, Time Worked and Leave Accumulated Reports (3.4.001).] Requests submitted, approvals, number of hours transferred in and out, etc.	FE+1	2	FE+3				
3.1.019	HR.052	Performance Appraisal Working Papers [Consists of working papers used to complete an employee's performance appraisal. Completed; approved performance appraisals are kept in Personnel Files, HR.001]	2		2		29 CFR 1620.32(c).		

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			Agency	Storage	Total					
3.1.006	HR.055	Employee Counseling Records Notes, memoranda, or reports relating to the counseling of an employee for work-related, personal, or substance abuse problems. Usually maintained at the supervisorial level except in those agencies with counseling staff. [Separate from disciplinary action.]	AC+1	2	AC+3		AC = Termination of counseling.			
3.2.001	HR.056	Employee Deduction Authorizations [At DIR, filed in FS.040h, Payroll Employee Files (3.2.001).] Documentation used to start, modify, or stop all voluntary or required deductions from payroll, including garnishment or other court-ordered attachments.	AC+1	3	AC+4		AC = After termination of employee or after amendment, expiration, or termination of authorization, whichever sooner.			

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			Agency	Storage	Total			
3.1.024	HR.060	Confidential Medical Reports [Used for TSRRS, Physical Examination/Medical Reports.] Medical or physical examination reports or certificates of employees for whom periodic monitoring of health or fitness is required. [May include medical documentation for ADA accommodations. Includes information relating to the employees selection of life, disability, health, and other types of insurance offered by the State of Texas to its employees, including TexFlex and documentation tracking employees use of TexFlex. Includes doctor's certification of employee's illness used for family medical leave or extended sick leave. [Not filed with Personnel records.]	AC+2		AC+2	AC = Until superseded or termination of employment. CAUTION: Does not include pre-employment physical examinations. SEE item number 3.1.014. AC=SEE HR.001. Employee insurance records are maintained in this record series while active, but incorporated into Personnel File after it is closed. CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item number 3.2.001. [See FS.040a]		
3.1	HR.061	Responses to Discrimination Charges Includes information from the Texas Rights Commission or Equal Employment Opportunity Commission.	AC+1		AC+1	AC = after resolution of charges.		

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			Agency	Storage	Total					
3.1.026	HR.062	Criminal History Checks Criminal history record information on job applicants or agency employees obtained from the Department of Public Safety (DPS). Includes information obtained from other security organizations such as the FBI, etc. [At DIR, destroyed immediately upon completion of use.]	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 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.				
3.1	HR.063	Employee Recognition Selection Program [Includes original nomination forms, Employee Recognition Committee's scoring and selection documents, program procedures and related reports.]	AC+1	1	AC+2	AC = one year from the end of the quarter in which the staff member was nominated for the award				
3.3.024	HR.064	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. Includes Employee Handbooks, New Employee Orientation, etc.	US+3		US+3					

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			Agency	Storage	Total			
3.1.011	HR.065	Employee Insurance Records Agency copies of information relating to the selection by employees of life, disability, health, and other types of insurance offered by the State of Texas to its employees.	AC		AC	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.		
3.1.035	HR.066	Performance Bonds [Not used by DIR.] Bonds posted by employees and individuals or entities under contract with an agency for the performance of the duties of a position or the terms of a contract with the agency.	AC+1	3	AC+4	AC = Expiration or termination of the bond according to its terms. CAUTION: Does not include construction or architectural surety bonds. SEE item number 5.2.028.		

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			Agency	Storage	Total				9. Remarks
3.1.036	HR.067	Apprenticeship Records [Not used by DIR.] Summary of applicant qualifications, evaluation basis for selection or rejection, original applications, job assignments, promotions, separations, layoffs, terminations, compensation records, conditions of work, time records, hours of training provided (separate from labor), minority status, and gender of all selected and rejected applicants.	1	4	5		29 CFR 30.8(e).		
3.1.038	HR.068	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, Government Code 552.024.	US		US		SEE item number 3.3.011.		

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			Agency	Storage	Total			
3.1.039	HR.069	Ombudsman Records [Not used by DIR.] 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.		
3.3.001	HR.070	Affirmative Action Plans Affirmative action plans for both regular employees and apprenticeship programs. Added 3.3.001 from new TSRRS. [Does DIR use this record series? If so, who uses, where are they filed?]	1	4	5	29 CFR 30.8(e) for apprenticeship plans.		

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			Agency	Storage	Total			
3.3.027	HR.072	Aptitude and Skills Tests Aptitude or skills tests required of job applicants or of current personnel to qualify for promotion or transfer. [Tests may be made available on public workstation in DIR's library.]	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.		
3.3.032	HR.073	Equal Pay Records [Not used by DIR.] Reports, studies, aggregated or summary data, and similar documentation compiled to monitor and demonstrate compliance with the federal Equal Pay Act.	1	2	3	29 CFR 1620.32.		

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			Agency	Storage	Total					
0	MA.007b	Agency IR Biennial Operating Plans - Received Agency information resources operating plans and any amendments submitted to the Legislative Budget Board (LBB), DIR, Quality Assurance Team (QAT) and Governor in accordance with directions from the LBB (TCG §2054.100). DIR receives copies per statute but uses as reference copies. Changed name to Information Technology Detail (ITD) Reports in FY04.	AV		AV	AV=decision of staff responsible for collecting copies. DIR receives copies per statute. Used for reference.				
0	MA.007c	Agency Information Technology Detail (ITD) - Received Tool agencies use to plan for appropriate use of information resources to support their mission, goals, objectives, and strategies. Submitted to LBB as part of agencies' Legislative Appropriations Requests.	AV		AV	AV=decision of staff responsible for collecting copies. DIR receives copies per statute. Used for reference.				

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			Agency	Storage	Total					
0.1	MA.011	Agency IR Strategic Plans Prior to 9/1/1999: Confidential [Not used by DIR after 9/1/1999. Analysts' copies of strategic plans for all agencies required to submit plans to DIR. Submitted January 1 of odd years. Kept on-site until release by division director. Oversight function transferred to LBB on 9/1/99.]	US	10	US+10	Confidential based on the Texas Open Records Act TEX. REV. CIV. ST. ANN. Art.6252-17a § 3(a)(16). Collected per TEX. GOV'T CODE §2054.095	93-313-011			
0	MA.012b	Agency Information Resources Strategic Plans - Received Strategic plans for information resources management submitted to the LBB as appendix to an agency's State strategic plan in June of even years.	AV		AV	AV=decision of staff responsible for collecting copies. DIR receives copies per statute. Used for reference.				

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			



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2. Agency Code 313		3. Agency Name Texas Department of Information Resources							
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				
0.1	MA.014	West Texas DROC West Texas Disaster Recovery and Operations Center. Includes documentation pertaining to the creation, planning, and maintenance of WTDROC. Required by legislation in 1993. Began in 1994, under contract as of 3/1/1996 with Integrated Systems Solutions Corp (ISSC). On 3/1/1998, turned over to Northrop Grumman Technical Services, Inc. (NGTSI). March 31, 2007 DCS contract commenced.	AC+1	2	AC+3		AC=decision of division director responsible for data center contract, management, and/or operations.		
0.1	MA.021	Quality Assurance Project Files Automated Information Systems project files from state agencies submitted as part of quality assurance program. Function was transferred from DIR to LBB on 9/1/1999. DIR was added to QA Team again, effective 9/1/2003.	AC+1	3	AC+4		AC = Project Completed.	02-313-059	
0	MA.022	Legislative Appropriation Request (LAR) Reviews - Received Copies of agency LARs received biennially from other agencies. Includes analyst's notes.	US		US		Used for reference.		

Retention Codes (Field 7)				Archival Codes (Field 8)			
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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					
0.1	MA.023	IRM Continuing Professional Education Credits Tracking Consists of data obtained from agency and university IRMs about training and education attended for compliance with DIR's Continuing Education Requirements. Includes Remedy database records, faxes, out-of-compliance letters, etc.	AC+1	1	AC+2		AC = person is no longer IRM of agency or university. IRMs must meet basic requirements within two years of being named IRM and continuing earning educational credits on an annual basis. See IRM Continuing Education Guidelines for details.			
5.1.004	MA.026	Master Telephone Directory Update/Edits Capitol Complex Telephone Directory must be published each year by March 31. Tex-AN telephone directory ceased publication in 1995-96. Government Blue Pages must be kept up in coordination with RMICC.	US		US					

Retention Codes (Field 7)						Archival Codes (Field 8)	
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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					
0.1	MA.027	Texas Online Budget/Financial Oversight - Projects Approved Used to track budget amendments created by Texas Online project work orders and new contracts. Includes TXO Project Budget Approvals; TXO Labor Reports; TXO Financial Statements; TXO Purchase Orders-Approved; TXO Project Approval Requests - Approved, TXO Opportunity Proposals-Approved; and TXO New Opportunity Requests-Approved	AC+2	2	AC+4		AC = Expiration or termination of the contract or Master Work Order whichever comes later.			
0.1	MA.028	Texas Online Budget/Financial Oversight - Projects Denied Used to track budget amendments created by Texas Online project work orders and new contracts. Includes TXO Purchase Orders-Denied; TXO Project Approval Requests-Denied; TXO Opportunity Proposals-Denied; TXO New Opportunity Requests-Denied	AC+1	3	AC+4		AC = Expiration or termination of Texas Online contract (not Master work order)			

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			
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			Agency	Storage	Total				
0.1	MA.029	Exemptions and Waivers [Documentation submitted to DIR by other agencies requesting a compliance waiver from administrative rule, statewide standards, or board policies. Includes waivers or exemptions for TexasOnline, IT commodity purchases, Tex-an, communications services, public solicitation, continuing education requirements, accessibility and usability of State web sites, and others that may arise.]	AC+3		AC+3	AC=date of expiration, denial, or withdrawal. 1 TAC §201.9(a) TexasOnline Waiver (TGC §2054.113) IT Commodity One-time Exemption Request (TGC §2157.068 (f)(1)) Communication Service Exemption Request (TGC § 2170.051 (d)) TEX-AN Exemption Request Waiver from Continuing Education Requirements (1 TAC §201.9) Public Solicitation Waivers (1 TAC §204.12 and §204.32) Exemption from complying with Access to Electronic and Information Resources by Individuals with Disabilities (TGC §2054.461)			
0.2	PR.007	Employee Public Service Projects Includes: United Way, Great American Smokeout, etc.	1		1				

Retention Codes (Field 7)				Archival Codes (Field 8)			
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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					
5.1.001	PR.010	Information Services Project Files Includes customer work orders, bid specifications, bid responses, notifications, amendments, schedules, vendor schedules, requisition and backup documentation. Interagency contracts and vendor schedules are kept separately, filed alphabetically by vendor name. Associated jobs are filed in order numerically by job number.	AC+1	3	AC+4		AC=Project Completed.	00-313-041		
0.2	PR.011	Educational Events Project Files Working papers (records of attendance, individual evaluation sheets, time, cost sheets, billing statements, memos, copies of contracts, correspondence, etc.) for educational events held by DIR (conferences, promotional events, etc.).	AC+1	3	AC+4		AC=Contract completed or all work on event completed.			

Retention Codes (Field 7)						Archival Codes (Field 8)	
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2. Agency Code 313		3. Agency Name Texas Department of Information Resources							
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				
0.2	PR.014	Project Files Information or data collected and used for the completion of projects undertaken by DIR staff. After 9/1/2001, use for all projects except for Information Services Project Files and Educational Events Project Files. [Includes project materials not necessarily used in the final deliverable or report: statistics, correspondence, e-mail, drafts, reference material, etc. Individual phases of a project that have assigned deliverables or end points may be assigned retention periods according to phase end-date. Includes white papers and issue papers. Does not include policy or rule development for which AD. 036 and AD.036b should be used.]	AC+1	3	AC+4		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. AC=end of specific phase (such as publication of a document) under the umbrella of a larger project or end of entire project. Excludes working papers for proposed legislation (see AD.026a). Some records may be confidential.	02-313-061	

Retention Codes (Field 7)				Archival Codes (Field 8)	
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			Agency	Storage	Total				
0.2	PR.016	Workgroup Participation [Agendas, minutes, work assignments, work products, and any related information received or produced by DIR staff while participating in interagency or cross-government committees or workgroups.]	AC+1		AC+1		AC = date committee or workgroup is abolished; date staff no longer serve on committee or workgroup or date specified work product or assignment is completed.		
0.2	PR.017	Special Assignments [Consists of short-term assignments such as filling out national surveys or responding to non-agency requests not generally part of a staff member's daily job responsibilities. If a report is prepared as a result of the assignment, use AD.029 Reports and Studies (Non-fiscal) Includes bill analyses and hearing reports during legislative sessions or for interim legislative committees].	AC+2		AC+2		AC = Completion of project. For hearing reports and bill analyses, AC = end of session.		

Retention Codes (Field 7)				Archival Codes (Field 8)	
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2. Agency Code 313		3. Agency Name Texas Department of Information Resources							
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				
5.1.001	SS.001	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. [Includes quotes, notes on recurring services, non-disclosure statements, correspondence, user profiles, notes on support and signed contracts (record copy). Includes: Statewide Telecom customer files.]	AC	4	AC+4		AC = Expiration or termination of the instrument according to its terms. [At DIR, generally kept to end of fiscal year in which contract expires.] SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs.	96-313-034	
5.1.017	SS.001a	Contract Log List of agency contracts, leases, and agreements including general obligation, land lease, utilities, and construction contracts.	FE+3		FE+3				

Retention Codes (Field 7)						Archival Codes (Field 8)			
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2. Agency Code 313		3. Agency Name Texas Department of Information Resources								
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					
5.1.001	SS.001b	Texas Portal Contract/Master Work Order Records [Consists of records associated with the TexasOnline or Texas.gov master contract (Texas Electronic Framework Agreement (TEFA)) signed in 2000 and subsequent amendments that established project breakeven, transfer of assets to DIR, a Master Work Order for certain projects, and all associated project files.]	AC+4		AC+4		AC = Expiration or termination of the contract or Master Work Order whichever comes later. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs.			
5.1.001	SS.001c	Master Cooperative Purchasing Contracts [Pertains to multiple contracts for cooperative purchasing awarded for each product/service RFO. Documents include specifications, affidavits of publication of calls for bids, accepted and rejected bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, and bid tabulation/evaluations.]	AC+1	3	AC+4		AC = Date last contract awarded to associated RFO expires or terminates according to the instrument's terms. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs.			

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			
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2. Agency Code 313		3. Agency Name Texas Department of Information Resources								
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					
5.3.005	SS.002	Packing Slips [Itemized list of ordered goods supplied by vendor with shipment. Used to confirm receipt of ordered goods. Should be routed to Accounting to file with payment voucher.]	FE+1	2	FE+3		AV = FE+3 because it is filed with expenditure vouchers.			
5.1.003	SS.003	Receiving Report [At DIR, used for TSRRS Delivery Reports. Includes receipts from FedEx, UPS, etc.]	FE+1	2	FE+3					
5.1.004	SS.004	Mail and Telecommunications Listings Any mailing address, telephone or fax number, or e-mail address records maintained by an agency on its employees or on entities or persons it serves. [Includes IRM and Executive Directors Database.]	US		US					
5.1.005	SS.005	Postage Records Records and reports of postage expenses, including postal meter usage.	FE+3		FE+3					

Retention Codes (Field 7)				Archival Codes (Field 8)			
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2. Agency Code 313		3. Agency Name Texas Department of Information Resources						
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			
5.1.007	SS.006	Copy Orders [At DIR, used for TSRRS Requisitions for In-Agency/Inter-Agency Copy/Printing Service.] Includes word processing and data processing. [Requests for copy center.]	AV		AV			
5.4.012	SS.007	Security Access Records Records relating to the issuance of keys, identification cards, building passes, passwords, signed statements or similar instruments of access to agency facilities, equipment or automated systems. [Includes: key logs, signature authorizations, code lists, access logs, requests for passwords, password changes, passwords assigned, password lists, lists of staff and associated privileges for accounts with Comptroller on the LAN, State Building Electronic Access Card Applications, etc.] Does not include discovery or tracking of unauthorized computer access which is found in Enterprise-wide Information Security Violations, AU.042 (2.2.001).	AC+2		AC+2	AC = Until superseded, date of expiration, or date of termination, whichever sooner.		

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	
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2. Agency Code 313		3. Agency Name Texas Department of Information Resources							
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				
5.1.011	SS.008	Photocopier and Telefax Usage Logs & Reports [At DIR includes: number of copies per copy machine logged by account number and logs of faxes received and reports generated by fax machines indicating success or failure of incoming and outgoing fax messages.]	AV		AV				
5.2.003	SS.009	Building Plans And Specifications: State Owned Includes architectural and engineering drawings, profiles, and blueprints.	LA		LA	R	SEE ALSO item numbers 5.2.002 and 5.2.028. ARCHIVES NOTE: Archival review designation is for state-owned buildings only.		
5.2.003	SS.010	Building Plans And Specifications: Leased Includes architectural and engineering drawings, profiles, and blueprints.	AC+2		AC+2		AC = For leased buildings; termination or cancellation of lease. SEE ALSO item numbers 5.2.002 and 5.2.028.		
5.2.004	SS.011	Building Space Requests [At DIR, consists of records that document office moves within the DIR facilities. Includes requests and plans (floor plans) for the move and records of vendors involved.]	FE+1		FE+1				

Retention Codes (Field 7)				Archival Codes (Field 8)	
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			Agency	Storage	Total				
5.2.008	SS.014	Property Management [At DIR, used for TSRRS records series (5.2.008) Equipment History File; Equipment Service Agreements. Includes TSRRS records series: (5.2.011) Equipment Warranties; (5.2.016) Inventory System Update Listings; (5.2.017) Inventory, Notices of Equipment Removed From; (5.2.018) Lost & Stolen Property Reports] Agreements or contracts between the agency and equipment vendor to provide maintenance service for equipment. Includes requests for installation, moves, service, etc.; and service/repair logbooks, etc. [Record copies of fax and copier repair purchase orders are held by Accounts Payable; includes equipment warranties; pager inventory listing.]	LA+1	2	LA+3		All audit requirements will be met prior to disposal.		
5.2.009	SS.015	Equipment Inventory Detail Report Forms Updates agency portion of the inventory listing and adds, changes, transfers, or deletes items from inventory.	FE+3		FE+3				

Retention Codes (Field 7)				Archival Codes (Field 8)			
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			Agency	Storage	Total				
5.2.010	SS.016	Equipment Manuals	LA		LA				
5.2.012	SS.018	Estimate Files (Supply and Repair Cost Estimates) Cost estimates for work to be performed.	1		1				
5.4.003	SS.019	Inspection Records Fire, safety, and other inspection records of agency facilities and equipment. Retention 3 years if no deficiency reported	AC+1	2	AC+3		AC = Inspection, or date of the correction of the deficiency if the inspection report reveals a deficiency. CAUTION: Does not include inspection reports of building construction. SEE item number 5.2.028.		
5.2.014	SS.020	Inventory - Annual Physical Property, equipment, supply verification.	FE+1	2	FE+3				
5.2.020	SS.024	Supply Usage Records [At DIR, includes inventory tracking spreadsheet of office supplies. Includes staff requests and division charges. Kept in Supply Room.]	FE+1		FE+1				
5.2.021	SS.025	Surplus Property Sale Reports	FE+1	2	FE+3				

Retention Codes (Field 7)				Archival Codes (Field 8)	
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			Agency	Storage	Total			
5.2.023	SS.026	Year-to-Date Activity (Inventory Listing) Shows additions, changes, transfers, and deletions of information within the inventory system. Data include agency, division, tag number, batch, document, transaction date, location, item code, description, date, and cost. [Keep green sheets with Property Management] Monthly report shows financial transactions - APR# - annual financial report]	FE+1	2	FE+3			
5.2.027	SS.027	Space Utilization Reports	AV		AV			
5.3.003	SS.029	Freight Claims Attach to P.O. of disputed items.	AC+2		AC+2	AC = Resolution of claim.		
5.1.012	SS.030	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			

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			Agency	Storage	Total					
5.3.007	SS.031	Bid Documentation Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, accepted and rejected bids, and bid tabulation/evaluations. [Includes bid protests.]	FE+1	2	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 and 5.2.028. [Bid protests added by Jed Rogers, TSLAC RIM analyst, 12/22/2008]			
5.3.008	SS.032a	Purchasing Logs Not used by DIR. Log, register, etc., providing a record of purchase orders issued, orders received, and similar data on procurement status.	FE+3		FE+3					

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			Agency	Storage	Total					
4.2	SS.032b	Purchase Order Files Includes purchase orders, change orders, 3.09 letters used for sole source documentation, approved requisition forms, copies of bid documents, copies of contracts/leases and other documentation which accompanies a purchase. All documents have same retention period.	FE+1	2	FE+3					
4.2	SS.032d	Post Receipts Against Purchase Orders Hard copy acknowledgement of posting invoice against purchase order (CDI system) after receipt of item or service and approval of payment. (Kept in binders in purchasing).	FE+1	2	FE+3			06-313-062		
5.3.009	SS.033	Preliminary Procurement Information Requests At DIR, used for TSRRS Requests for Information. Requests for information preliminary to the procurement of goods or services by direct purchase or bid.	AC		AC		AC = Date of direct purchase, issuance of request for bids, or decision not to proceed with the procurement, as applicable.			

Retention Codes (Field 7)						Archival Codes (Field 8)			
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2. Agency Code 313		3. Agency Name Texas Department of Information Resources								
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					
5.4.001	SS.034	Accident Reports and Associated Documentation Accident or occupational disease reports (by supervisors and employees) and other associated reports required to be submitted to the Texas Department of Insurance or its predecessors or maintained internally on accident frequency.	CE+5		CE+5	29 CFR 1904.33. The Texas Department of Insurance retains copies of the reports submitted to it for 50 years.				
5.4.002	SS.035	Evacuation Plans Plans for evacuation of agency facilities in cases of emergency.	US		US					
5.4.004	SS.037	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	SS.040	Hazardous Materials Training Records [Not used by DIR.] Records of training given employees in an agency hazard communications program.	5		5	Health and Safety Code, § 502.009(g).				

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	



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Records Retention Schedule

SLR 105

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2. Agency Code 313		3. Agency Name Texas Department of Information Resources							
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				
5.5.001	SS.041	Billing Detail - Telecommunications (Other Than TEX-AN) In addition to summary detail, includes any accompanying detailed listing of long distance calls. [DIR internal agency use records. NOT part of telecom financial records.]	FE+1	2	FE+3		SEE item number 5.5.006 for TEX-AN billing detail.		
5.5.002	SS.042	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. [DIR internal agency use records. NOT part of telecom financial records.]	AV		AV				

Retention Codes (Field 7)				Archival Codes (Field 8)	
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2. Agency Code 313		3. Agency Name Texas Department of Information Resources								
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					
5.5.006	SS.043	Billing Detail - Telecommunications (TEX-AN) [At DIR, filed under CDI Journal Vouchers in FS.017 General Ledger (4.4.001).] In addition to summary detail, includes any accompanying detailed listing of long distance calls. [DIR internal agency use records. NOT part of telecom financial records.]	FE+1	2	FE+3		The billing agency will maintain all long distance TEX-AN records and will provide each using agency its bill summary of centralized capitol complex telephone service without call detail records. For these bill summaries, SEE item number 4.7.011. SEE item number 5.5.001 for billing detail from carriers other than TEX-AN.	95-313-028		
5.5.007	SS.044	Disputed Call Documentation Documentation relating to disputed long distance calls including documents evidencing repayment by employees for personal long distance use. [DIR internal agency use records. NOT part of telecom financial records.]	FE+1	2	FE+3					

Retention Codes (Field 7)				Archival Codes (Field 8)	
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2. Agency Code 313		3. Agency Name Texas Department of Information Resources							
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				
5.6.003	SS.045	Inspection Repair and Maintenance Records - Vehicles [At DIR, includes mileage logs and operations logs - vehicles. Includes gas purchases and repair work - sent to TFC.]	LA+1		LA+1				
5.6.004	SS.046	License & Driving Record Checks	AC		AC		AC = Until superseded or until termination of employment.		
5.6.005	SS.047	Vehicle Use Reports Includes mileage, fuel/oil consumption, passengers carried and other related operational information. [Not used by DIR. Kept with Inspection Repair and Maintenance Records - Vehicles]	FE+3		FE+3				
5.6.007	SS.049	Vehicle Titles & Registration	LA		LA				
5.6.009	SS.050	Parking Permits Or Assignments Includes parking applications, waiting lists, and other applicable supporting documentation.	US		US				

Retention Codes (Field 7)				Archival Codes (Field 8)	
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2. Agency Code 313		3. Agency Name Texas Department of Information Resources								
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	SS.053	Facilities/ Equipment Tracking System [At DIR, internal electronic equipment tracking system used to document staff requests for computer equipment, projectors, conference room telephones, etc. and to track inventory of equipment before and after use. Scheduling overhead projector, LCD projectors, etc. records are handled electronically through the calendaring function.]	AV		AV					
5.2.008	SS.058	Computer Inventory/Maintenance/Support Records [At DIR, used for TSRRS records series (5.2.008) Equipment History File; Equipment Service Agreements. Records documenting the service, repair, and inspection of computer hardware. Includes printer repair records. Includes "seat management" services. Includes maintenance/support for software]	LA+1	2	LA+3					

Retention Codes (Field 7)						Archival Codes (Field 8)	
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			Agency	Storage	Total				
5.1.015	SS.060	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. [At DIR includes: logs for distributing packages and faxes to staff.]	1		1				
5.1	SS.060a	Legislative Contact [At DIR, logs or files documenting correspondence, telephone calls, and meetings with legislators or staffs of legislators.]	FE+1	2	FE+3		Electronic records are considered the record copy.		
5.2.019	SS.061	Service Orders Agency copy of forms completed by mechanical service personnel for installation or repair. Includes billing code, service, labor, parts, and remarks.	1		1				
5.2.026	SS.062	Facilities Reservation Logs Reservation logs or similar records relating to the use of agency facilities such as meeting rooms, auditoriums, etc. [At DIR, conference room reservations through electronic calendaring system.]	2		2				

Retention Codes (Field 7)				Archival Codes (Field 8)	
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2. Agency Code 313		3. Agency Name Texas Department of Information Resources								
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	SS.063	Agency Logs [Logs of agency data received/sent/processed or actions taken. Includes Notary Public log and log of reports submitted to DIR. Correspondence logging is filed under SS.060 Correspondence Tracking Records (5.1.015).]	AV		AV					
5.4	SS.064	Visitor Log [At DIR, used to note visitors and provide identification in case of emergencies. Includes visitor's name, company, date of visit, and person meeting. Address and telephone numbers of visitors are not collected.]	1		1					
5.4.011	SS.064a	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)	
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2. Agency Code 313		3. Agency Name Texas Department of Information Resources								
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	SS.066	Tex-AN/Capitol Complex Telephone System Work Orders & Trouble Tickets [Includes conference scheduling forms and Customer Service Authorization (CSA) forms. Includes AT&T paper PONs. Organized by month, agency number. (formerly agency item number SS-75 under GSC) Includes Network Operations Center (NOC) work orders.]	AC+1	2	AC+3		AC = completion of work.	02-313-053		
5.1.014	SS.070	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					
5.1.013	SS.071	Insurance Policies For vehicles, equipment, etc.	AC+4		AC+4		AC = Expiration or termination of the policy according to its terms.			
5.2.025	SS.072	Equipment Descriptions and Specifications	AC+2		AC+2		AC = Equipment is no longer in the agency.			

Retention Codes (Field 7)						Archival Codes (Field 8)	
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Records Retention Schedule

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2. Agency Code 313		3. Agency Name Texas Department of Information Resources						
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			
5.4.013	SS.073	Disaster Preparedness and Recovery Plans Plan developed by agency to document procedures to recover necessary processes, materials, equipment, and staff during and after emergency events.	US		US			

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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 512-421-7200.

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.

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.