



March 12, 2018

Mr. Martin Zelinsky  
General Counsel  
Department of Information Resources  
300 W. 15<sup>th</sup> Street Suite #1300  
Austin, Texas 78701

Re: Agency records retention schedule approved for use.

Dear Mr. Zelinsky,

Your agency's records retention schedule is approved for use as of March 6, 2018. Your currently approved records retention schedule is available on our website at <https://www.tsl.texas.gov/slrms/state/schedules.html>. Please ensure that all old copies of the schedule are superseded with this recertified copy.

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

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

During a certification period, changes may need to be made to your schedule. State regulations (13 TAC §6.4) also allow for the submission of amendments to the retention schedule as needed to keep the information in the schedule current. If you are not familiar with the amendment process, or if you have any other questions, please contact the Government Information Analyst assigned to your agency, Gina Cervantes at 512-463-6623 or [gcervantes@tsl.texas.gov](mailto:gcervantes@tsl.texas.gov).

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

Sincerely,

A handwritten signature in black ink, appearing to read "GK", written over a white background.

Craig Kelso  
Director and State Records Administrator

cc: Agency head

Lorenzo de Zavala  
State Archives and  
Library Building

1201 Brazos Street  
Austin, Texas  
78701

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

[www.tsl.texas.gov](http://www.tsl.texas.gov)

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Michael C. Waters

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Mark Smith

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**TSLAC**

*Preserving yesterday  
Informing today  
Inspiring tomorrow*

R01/313



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 Martin Zelinsky
Name (Print or type) Martin Zelinsky
Date 11/13/17

Section 2. Approvals

(Submitting agencies do not write in this section)

State Auditor's Office
Signature Not Required at This Time
Name (Print or type)
Date

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

Signature Gloria Merend
Name (Print or type) Gloria Merend
Date 3/6/18

Cert/Recert No. 3 Amendment No. ---

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## 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

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				Years	Months	Days					
AD.002	1.1.002	Audits	Audits and reviews performed by or on behalf of an agency, including the working papers that support the audit. Also includes audits performed on the agency.	7			AC	AC = Publication or release of final audit findings.		The State Auditor's Office retains any copies of its audits performed on Texas state agencies.	
AD.006	1.1.006	Complaint Records	Complaints received by an agency from the public concerning the agency and records pertaining to the resolution of the complaint.	3			AC	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 RSIN 1.1.048/ AIN AD.044, Litigation Files.	

**Retention Codes (field 7)**

AC – See event trigger for specific records series definition  
 AV – Administratively valuable  
 CE – Calendar year end

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**Archival Codes (Field 10)**

A/I – Transfer to State/University Archivist  
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AD.007	1.1.007	Correspondence - Administrative	Incoming/outgoing and internal correspondence pertaining to the formulation, planning, implementation, interpretation, modification, or redefinition of the programs, services, or projects of an agency and the administrative regulations, policies, and procedures that govern them.	4					R	ARCHIVES NOTE: Only the administrative correspondence of executive staff, board or commission members, division directors and program heads require archival review. Contact the State Archives when these records have met their retention periods. CAUTION: This records series and RSIN 1.1.008 /AIN.008, Correspondence – General, 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 RSIN 1.1.004 /AD.038, Legislative Appropriation Requests.	

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AD.008	1.1.008	Correspondence - General	Non-administrative incoming/outgoing and internal correspondence, in any media, pertaining to or arising from the routine operations of the policies, programs, services, or projects of an agency.	2							SEE comment to item number RSIN 1.1.007/AIN AD.0087, Correspondence - Administrative. SEE ALSO item number RSIN, 1.1.010/AIN AD.010, Directives. [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.]	
AD.010	1.1.010	Directives	Any document that officially initiates, rescinds, or amends general office procedures.	1			US					
AD.011	1.1.011	Executive Orders	Any document that initiates, rescinds, or amends a regulation, policy, or procedure that governs the programs, services, or projects of an agency.	3			US		A			

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AD.013	1.1.013	Calendars, Appointment and Itinerary Records	Calendars, appointment books or programs, and scheduling or itinerary records, purchased with state funds or maintained by staff during business hours that document appointments, itineraries and other activities of agency officials or employees.	1			CE		R	ARCHIVES NOTE: Only the calendars, appointment, 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.	
AD.014	1.1.014	Legal Opinions and Advice / Attorney General	From agency legal counsel or the Attorney General, including any requests eliciting the opinions.	5			AC	AC= date the attorney decides to close files. Nonrestricted information sent to State Archivist for review.	R	See Litigation Worksheet. CAUTION: Does not include legal opinions or advice rendered on a matter in litigation or with regard to pending litigation. SEE RSIN, 1.1.048/AIN AD.044, Litigation Files.	

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AD.015	1.1.014	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.]	5			AC	AC=date attorney decides to close files.	R	Non-restricted information sent to State Archivist for review.	

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AD.016	1.1.058	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.				PM		A	ARCHIVES NOTE: Agency retains permanent record copy. The archival requirement will be met by sending a copy to the Archives and Information Services Division, Texas State Library and Archives Commission. CAUTION: This record series and RSIN 1.1.059/AIN AD.046, Meetings, Certified Agendas or Tape Recordings of Closed; RSIN , 1.1.060/AIN AD.049, Meetings, Audio or Videotapes of Open; RSIN 1.1.061/AIN 016b, Meeting Notes and RSIN 1.1.062/AIN AD.047, Meetings – Supporting Documentation, must be used for those state boards and committees 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.	

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AD.016b	1.1.061	Meeting - Notes	Notes taken during open meetings of state boards, commissions, committees, and councils from which written minutes are prepared.			90	AC	AC = Approval of the formal minutes by the governing body.		SEE caution comment at item number RSIN 1.1.058/AIN AD.016.		
AD.018	1.1.063	Staff Meeting Minutes and Notes	Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1								
AD.019	1.1.019	Public Relations Records	News, press releases, or any public relations files maintained or issued by an agency. Includes print, electronic, audio, and audiovisual records. [Includes re-print permission requests and responses for copyright articles.]	2					R			
AD.019a	1.1.000	DIR Scrapbook	Collection of various news items and memorabilia by or about DIR. [Includes: newspaper, magazine, articles about DIR or DIR staff; quotes from DIR staff.]				AV					
AD.113	1.1.000	Public Information Requests – Exempted and Not Exempted	Includes all correspondence and documentation relating to requests for records furnished to the public and/or exempted under the Public Information Act.	2			AC	AC = Date request fulfilled or notification of exemption		RSIN 1.1.020/AD.020; Public Information Requests – Not Exempted; 1.1.021/AD.021 Public Information Requests - Exempted	Texas Government Code, Chapter 552	
AD.022	1.1.023	Organizational Charts					US		A			

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AD.023	1.1.024	Plans and Planning Records	Plans and records relating to the process of planning new or redefined programs, services or projects of an agency that are not included in or directly related to other records series in this schedule.	3			AC	AC = Decision made to implement or not to implement result of planning process.	R	ARCHIVES NOTE: Data processing planning records are not archival.	
AD.024	1.1.064	Agency Performance Measures Documentation	Any records of an agency needed for the documentation of output, outcome, efficiency, and explanatory measures in an agency's appropriations request or strategic plan, and for performance measures used to manage the agency.	3			FE			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.	
AD.025	1.1.026	Texas Register Submissions	Copies of all proposed, withdrawn, emergency, and adopted rules; open meetings notices; or any other documents required by law to be submitted to the Texas Register.	1			AC	AC = Date of publication in the Texas Register.			
AD.026	1.1.027	Proposed Legislation - Working Papers	Drafts of proposed legislation and related correspondence. [Includes drafts and working papers of proposed DIR legislation under development and DIR responses to proposed legislation that impacts DIR.]	4			AC	AC = End of Legislative Session.		[Disposition occurs at end of current session. At any one time, records should exist for no more than three sessions.]	May be confidential according to Public Information Act, TEX. GOVT. CODE ANN. Chap. 552.106.
AD.027	1.3.002	Publication Development Files	Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.				AV		R	AV=1 year.	

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AD.028	1.3.001	State Publications	<p>Information in any format that is produced by the authority of or paid for by DIR for public distribution and not subject to another retention period in this schedule (ex: news releases, meeting agendas, and financial reports).</p> <p>One copy of each state publication as defined on page xi, Texas State Records Retention Schedule, Revised 4th Edition, except a publication that is subject to a different retention period in this schedule. For example, a meeting agenda (see RSIN1.1.058/AIN Meeting Agenda and Minutes) also meets the definition, but it must be retained permanently; RSIN 1.1.004/AIN AD.038, RSIN 1.1.055/AIN AD.107, Strategic Plans, RSIN 1.1.066/AIN AD 030, Reports – Biennial or Annual Agency (Narrative), RSIN 1.1.068/AIN AD 1.1.068, Reports on Performance Measures, and RSIN 4.5.003/AIN AD 112, Legislative – Mandated Planning and Reporting which also meet the definition, are closely associated with the appropriations process and must be retained AC + 6.</p>	2			AC	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.	Texas Government Code 441.101 thru 106. Requirements for Internet publications see 13TAC §§3.1 through 3.16.

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AD.029	1.1.067	Reports and Studies (Non-Fiscal)	Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3					R	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, Texas State Records Retention Schedule, Revised 4th Edition. CAUTION: RSIN 1.1.072/AIN AD.101, Public Information Reports [May keep until end of fiscal year and dispose of at same time.]	
AD.032	1.1.069	Activity Tracking Reports and Logs	Reports compiled by agency personnel on a daily or other periodic basis pertaining to workload monitoring, task completion times, number of public contacts, and similar activities.	1						CAUTION: See RSIN 1.1.064/AIN AD.032, Agency Performance Measures Documentation.	
AD.033	1.1.040	Presentations, Speeches and Published Papers	Notes or texts of speeches, presentations, papers, or reports delivered in conjunction with agency work.				AC	AC = End of term in office or termination of service in a state position.	R		

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AD.034	1.1.065	Reports and Studies (Non-Fiscal) - Raw Data	Information or data collected and compiled for the purpose of producing non-fiscal reports.				AV			CAUTION: Does not include source documentation used for information or data included in or directly related to another records series in this schedule. See RSIN 1.1.064/AIN. 024, Agency Performance Measures Documentation.	
AD.035	1.1.038	Customer Satisfaction Surveys	Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.				AC	AC = Final disposition of summary report.		SEE RSIN 1.1.067/AIN AD.029, Reports and Studies (non-Fiscal) for summary reports compiled from customer surveys.	
AD.111	1.1.000	Agency Rules, Policies, and Procedures	Policies, 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 rule, policies, and procedures that govern DIR programs, services, projects, and operations. Includes working files used in the development of policies, rules, and procedures.	3			AC	AC = Completion or termination of program, rules, or policies.	R	CAUTION: See RSIN 1.1.000/AIN AD.114 Internal Policies and Procedures.	

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AD.038	1.1.004	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.]	6			AC	AC = September 1 of odd-numbered calendar years, the year the Legislature approved the LAR.	A	ARCHIVES NOTE: The archival requirement is met by sending the required copies of the requests to the Texas State Publications Depository Program, Texas State Library and Archives Commission. Only copies of supporting documentation submitted to the Legislative Budget Board are archival.	
AD.039	1.1.043	Training Materials	Instructional materials developed by an agency for training entities or individuals it regulates or serves.	1			US				
AD.044	1.1.048	Litigation Files	Records created by or on behalf of an agency in anticipation of or in the adjudication of a lawsuit.	1			AC	AC = As applicable, decision of an agency not to file a lawsuit or decision that a lawsuit will not be filed against it on a matter; dismissal of a lawsuit for want of prosecution or on motion of the plaintiff; or final decision of a court (or of a court on appeal, if applicable) in a lawsuit.	R	ARCHIVES NOTE: Cases that set legal precedent or exhibit historical value will be evaluated by the Archives and Information Services Division of the Texas State Library and Archives Commission for archival preservation.	
AD.045	1.1.068	Reports on Performance Measures	Quarterly and annual reports on agency performance measures submitted to the executive and legislative budget offices.	6			AC	AC = September 1 of odd-numbered calendar years.			

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AD.046	1.1.059	Meetings, Certified Agendas or Recordings of Closed	Certified agendas or recordings of closed meetings of state boards, commissions, committees, and councils.	2			AC	AC = The date of the meeting or completion of pending action involving the meeting, whichever is later.		SEE caution comment at RSIN 1.1.058/AIN AD.016, Meeting Agenda and Minutes.	Texas Government Code, § 551.104(a).
AD.047	1.1.062	Meetings - Supporting Documentation	Documents submitted at meetings of state boards, commissions, committees, and councils including exhibit items, documentation for agenda items, etc. Includes documents sent in advance of meetings for briefing purposes, some of which may not be submitted at an actual meeting.	2			AC	AC = Date of corresponding board meeting.	A	SEE caution comment at item number RSIN 1.1.058/AIN AD.016, Meeting Agenda and Minutes.	

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AD.049	1.1.060	Meetings, Audio or Video Recordings of Open Meetings	Audio or video recordings of open meetings of state boards, commissions, committees, and councils.			90	AC	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 video recordings are not permanent media. State agencies may not retain audio or video recordings tapes 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 RSIN 1.1.058/AIN 016, Meeting Agenda and Meetings.	
AD.050	5.3	Vendor Files	[At DIR, consists of general information (brochures, literature, etc.) about vendors and their products or services. May include pricing information.]				AV			[AV determined by individual staff.]	

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AD.051	1.1	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 determined by individual staff. Legal reference files AV=2 years. May be treated as transitory information and not necessarily recorded in the disposition log.]	
AD.052	1.2.001	Destruction Authorizations	Agency level documents authorizing destruction of records under a certified records retention schedule.	3			FE				
AD.054	1.2.003	Forms History File	Print masters of original version and all subsequent revisions to an agency form, including any associated design or design modification requests.	1			AC	AC = Discontinuance of use of form.			
AD.055	1.2.004	Forms Inventory	Any periodic listing of all forms used internally or externally by an agency				US				
AD.056	1.2.005	Records Retention Schedule (SLR 105)	Agency copy. Formerly RMD 105. Includes documentation of certification and approval - forms SLR 105C (formerly RMD 105C) and/or other forms designated by the State Records Administrator.				US			Original is retained permanently by the State and Local Records Management Division, Texas State Library and Archives Commission.	

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AD.057	1.2.006	Records Transmittal Forms -- Agency copy (includes RMD 101, Tx-R-5, 306-58-1, and Agency Storage Forms)	Includes records transferred to and from storage or transfer of legal custodian. Includes records permanent check-out forms.	2			AC	AC = Final disposition of stored records. 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.			
AD.058	1.2.008	Request for Authority to Dispose of State Records (RMD 102)		3			FE			Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission.	
AD.059	1.2.010	Records Disposition Logs	List or log of records indicating final disposition. Show records series title, dates of records, method of disposition, and date of disposition	10							
AD.060	1.2.011	Record Center Storage Approval Forms (RMD 106)					US				
AD.061	1.2.012	Records Inventory Worksheets					US				
AD.062	1.2.013	Records Control Locator Aids	Includes indexes, card files, shelf lists, registers, file schemas, guides, etc.				AC	AC = When control aid is updated, revised, or no longer needed.		CAUTION: These records must carry the same retention period and archival code of the records they support.	

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AD.063	1.2.014	Records Management Plans	Records management plans and similar records that establish the policies and procedures under which records and information are managed in an agency.	1			US				
AD.064	1.2.015	Disaster Recovery Transmittals (RMD109)	Also includes documentation for disaster recovery services provided by other entities.	1			FE				
AD.066	1.2	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.]	2			FE			Electronic copy which includes delivery receipt number is the record copy.	
AD.068	1.2	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. ]	2			AC	AC = date files are destroyed.		Electronic copy is record copy.	
AD.074	1.1.065	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.]	3			FE			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.	

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AD.080	1.1	TSL Publications Clearinghouse Files	Used to document DIR publications sent to TSL Publications Clearinghouse to be in compliance with state law.	5							
AD.081	1.1	Board Appointments		4			AC	AC=term expired	R		
AD.082	1.1	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.]	3			AC	AC=membership terminated.			
AD.085	4.7	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 = decision of division manager.			
AD.087	4.7	Grants - non-Federal	[Includes documentation about nonfederal grants awarded to DIR.]	3			AC	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.	

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AD.087a	4.7.008	Grant Records	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.	3			AC	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.	
AD.091	1.1	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.]	7						International Association of Continuing Education and Training (IACET) Standard - must be kept a minimum of 7 years.	
AD.094	1.1	Educational Events (Class) Evaluations	[Includes summary report of class evaluations.]	3			FE				

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AD.095	1.1	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.]	4			FE		A	[State Archives requests that minutes be sent to Archives after meeting DIR retention requirements.]	
AD.097	1.1	Publications Work Order Logbook	[Consists of work assignment listings. Maintained by job number.]				AV			determined by Publications staff.	
AD.098	1.1.048	Infringement Claims	Collection of documents pertaining to notices from companies claiming copyright infringement.	4			AC	AC = Date of notice of alleged infringement	R		
AD.101	1.1.072	Public Information Reports	Reports made to the Office of the Attorney General on an agency's Public Information Act activities.	2							

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AD.102	1.1.073	Administrative Hearings	Transcripts and final decisions of hearings conducted as part of the regulatory process, and hearings on proposed rules and changes. The records may be maintained with related information including meeting notices, proofs of publication, and meeting minutes.	3			AC	AC = Last action.	R		
AD.103	1.1.074	Sunset Review Report and Documentation		3			AC	AC = After the subsequent Sunset Review.	R		
AD.104	1.1.075	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.	4			AC	AC = Date of final agreement.			Texas Civil Practice and Remedies Code, Chapter 154.071.
AD.105	1.1.041	Suggestion System Records	Suggestions submitted by agency personnel and responses.	1							
AD.106	1.1.053	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 = Report filed with the Texas Ethics Commission.			

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AD.107	1.1.055	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]	6			AC	AC = September 1 of odd-numbered calendar years.	A	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.	
AD.108	1.1.056	ADA (Americans with Disabilities Act) Documentation	Self-evaluations and plans documenting compliance with the requirements of the Americans With Disabilities Act.	3							28 CFR §35.105(c).
AD.110	1.2.016	Disaster Recovery Service Approval Form (RMD 113)					AC	AC = Until superseded or termination of service.		Also includes documentation for disaster recovery services provided by other entities.	
AD.112	1.1.000	Legislative – Mandated Planning and Reporting	Includes Annual Financial Report, Strategic Plans, Legislative Appropriation Requests and Biennial or Annual Narrative Reports	6			AC	AC = September 1 of odd-numbered calendar years	A	ARCHIVAL NOTE: Archival requirement is met by sending required copies to the Texas State Publications Depository Program, TSLAC.	
										RSIN: 4.5.003, Annual Financial Reports; 1.1.055, Strategic Plans; 1.1.004, Legislative Appropriation Requests; 1.1.066, Reports – Biennial or Annual Agency (Narrative)	

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AD.111	1.1.000	Project Files	Includes project plans, correspondence, meetings, schedules, team members, status reports, work papers, results, and other project documentation	7			AC	AC = Completion of project. NOTE: For systems projects. Until electronic records are migrated to 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, and the system/application is no longer used.		CAUTION: Software needed for access to electronic records must be retained for the period required to access the records. State RSIN 2.1.009	
AD.114	1.1.000	Internal Policies and Procedures	DIR staff policies and procedures developed for users to perform job duties, Standard Operating Procedures (SOPs). Includes areas such as personnel management, accounting, information systems, etc.	4			US			CAUTION: Does not include technical documentation procedures for reading or processing of electronic records. RSIN 2.2.010, 3.3.024, 4.7.001	
AU.001	2.1.001	Processing Files	[Not used by DIR.] Machine-readable files used in the creation, utilization, and updating of master files.				AC	AC = Completion of 3rd verification cycle, or audit completion confirming successful transaction processing, or required audit trail maintenance, or the ability to restore or migrate when errors are detected or when hardware or software changes occur.		CAUTION: Records management officers must be certain before assigning the retention period of AC to agency automated processing files that the files do not fall under records series listed elsewhere.	

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AU.002	2.1.002	Master Files	Relatively long-lived computer files containing organized and consistent sets of complete and accurate electronic records. Examples include, but are not limited to, data tables of relational databases used by applications or computer programs.				AC	AC = Completion of 3rd verification cycle, or audit completion confirming successful transaction updates, or required audit trail maintenance, or the ability to restore or migrate when errors are detected or when hardware or software changes occur.		CAUTION: Records management officers must be certain before assigning the retention period of AC to agency automated processing files that the files do not fall under records series listed elsewhere.	
AU.004	2.2.012	Output Records for Computer Production	[Not used by DIR.] Reports showing transactions that were accepted, rejected, suspended, and/or processed.				AV				
AU.006	2.1.008	Hardware Documentation	Records documenting operational and maintenance requirements of computer hardware such as operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems.				AC	AC = Until electronic records are transferred to and made usable in a new hardware environment or there are no electronic records being retained to meet an approved retention period that require the hardware to be retrieved and read.		CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.	13 Texas Administrative Code §6.94.

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AU.007	2.1.007	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 = Until electronic records are transferred to and made usable in a new software environment or there are no electronic records being retained to meet an approved retention period that require the software to be retrieved and read.		CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.	13 Texas Administrative Code §6.94.
AU.009	2.2.002	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.	3			FE			[Retain only if the records support long-range plans and studies. ]	

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AU.011	2.1.009	Technical Documentation	Records adequate to specify all technical characteristics necessary for reading or processing of electronic records and their timely, authorized disposition including documentation describing how a system operates and necessary for using the system such as user guides, system or sub-system definitions, system specifications, input and output specifications, and system flow charts; program descriptions and documentation such as program flowcharts, program maintenance logs, change notices, and other records that document modifications to computer programs; and data documentation necessary to access, retrieve, manipulate and interpret data in an automated system such as a data element dictionary, file layout, code book or table, and other records that explain the meaning, purpose, structure, logical relationships, and origin of the data elements.				AC	AC = Until electronic records are transferred to and made usable in a new hardware or software environment with new documentation or there are no electronic records being retained to meet an approved retention period that require the documentation to be retrieved and read.		CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.	13 Texas Administrative Code §6.94.

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AU.012	2.1	Demo Hardware/Software/Documentation	Demonstration of Information Technology to internal customers. [Includes hardware, software and documentation used for agency demonstration purposes.]				AV				
AU.029	2.1	Texas Agency Records Management System Database	Tracks retention schedule, transmittals, disposition, and circulation records.	10			AC	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.	
AU.030	2.1.002	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 = 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.	
AU.032	2.2	Weekly Backup Tapes	Includes end-of-week backup tapes for all network servers.	1							
AU.033	2.2	Daily Backup Tapes	Includes end-of-day backup tapes for all network servers. Kept for 6 weeks, and then rotated.			42					

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AU.034	2.2	Annual Backup Tapes	Includes end-of-year backup tapes for all network servers.	2			FE				
AU.035	2.2	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 determined by success of upgrade. May need to keep until assured system is working 100%.	
AU.037	2.1	Web Access Logs	Data collected to determine number of "hits" to agency web sites. Used to compile monthly web usage statistics.				AV			AV determined by information resources manager.	
AU.038	2.1	Web Usage Statistics	[Produced from monthly web access logs. Used for web usage trend analysis.]				AV			AV determined by information resources manager.	
AU.039	2.1.010	Audit Trail Records	Files needed for electronic data audits such as files or reports showing transactions accepted, rejected, suspended, and/or processed; history files/tapes; records of on-line updates to application files or security logs.				AC	AC = All audit requirements have been met.			
AU.040	2.2.001	System Monitoring Records	Electronic files or automated logs created to monitor automated computer systems such as performance and job processes. Includes records showing jobs to be run, run logs, transaction status, etc. Includes telecommunications systems.				AV			AV determined by Information Resources Manager.	

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AU.041	2.2.013	Quality Assurance Records	Information verifying the quality of system, hardware, or software operations including records of errors or failures and the loss of data resulting from such failures, correction of errors or deficiencies, documentation of abnormal termination and of error free processing, checks of changes put into production, transaction histories, and other records needed as an audit trail to evaluate data accuracy.				AC	AC = No longer needed as an audit trail for any records modified.			
AU.042	2.2.001	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.]	2			FE				Confidential per Tex. Gov't Code Ann. § 2054.077. Vulnerability Reports

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AU.043	2.2	Security Incident Reporting	[Information concerning violations of security policy reported monthly by agencies and universities to DIR. Data collected and summary report produced by the Security Incident Reporting System. Includes DIR internal security incident reports specified in security violation SOPs.]	3			FE				Confidential per Tex. Gov't Code Ann. § 2054.077. Vulnerability Reports.  Texas Administrative Code § 202.26.  Texas Administrative Code § 202.76
AU.044	2.2	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.]	3			AC	AC=date publication report based on collected data is published.			Confidential per Tex. Gov't Code Ann. § 2054.077. Vulnerability Reports
AU.045	2.2	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.]	3			AC	AC=date report published.			Confidential per Tex. Gov't Code Ann. § 2054.077. Vulnerability Reports.  1 Texas Administrative Code § 202.21 (d) (4).

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AU.046	2.2.000	System Access Documentation - General	Includes electronic files or logs documenting use of or access to agency automated systems.			3				CAUTION: Subject to contract conditions.	
AU.046a	2.2.000	System Access Documentation - Unauthorized	Includes documentation of unsuccessful access attempts by unauthorized users. Used to evaluate system security and to identify specific problems and sources. Provides documentations of declared incidents that may be used for corrective or legal responses.	1			AC	AC = date declared incident investigation concluded.			
AU.047	2.1.011	Finding Aids, Indexes, and Tracking Systems	Any type of finding aid or index used to provide access to records that are not in current automated systems.				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.	

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AU.048	2.2.010	Data Processing Policies and Procedures	Manuals, guidelines, or similar documents establishing data processing policies and procedures in an agency in such areas as access and security, systems development, data retention and disposition, data ownership, production control, system back-up, etc.	3			US			CAUTION: Does not include technical documentation of procedures necessary for reading or processing of electronic records. SEE item number RSIN 2.1.009/Technical Documentation.	
AU.048a	2.2.010	Move Add Change Form	Completed forms documenting authorized actions taken on individual employee profiles and access to active directory network.	1			AC	AC = termination of employment.			
AU.050	2.2.014	Internet Cookies	Data resident on hard drives that make use of user-specific information transmitted by the Web server onto the user's computer so that the information might be available for later access by itself or other servers.				AV			The disposal of Internet cookies need not be documented through destruction authorizations RSIN(1.2.001/AIN AD.52) or in records disposition logs RSIN( 1.2.010/AIN AD.059), but agencies should establish procedures governing disposal of these records as part of its records management plan RSIN (1.2.014/AIN AD.063).	

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AU.051	2.2.015	History Files - Web Sites	A record of the documents visited during an Internet session that allows users to access previously visited pages more quickly or to generate a record of usage of a state-owned computer.				AV			The disposal of history files need not be documented through destruction authorizations RSIN1.2.001/AIN AD.52) or in records disposition logs RSIN 1.2.010/AIN AD.059), but agencies should establish procedures governing disposal of these records as part of its records management plan RSIN 1.2.014/AIN AD.063).	
AU.052	2.2.016	Software Registrations, Warranties and License Agreements		3			LA			LA = End of fiscal year in which asset is disposed	

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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						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.	

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AU.054	2.1.002	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 = 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.	

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AU.055	2.1.000	Software and Hardware Documentation.	Includes automated software applications and operating system files, including job control language, program listing/source code, etc. Includes all modifications, changes, revisions or updates. Also, includes records documenting operational and maintenance requirements of computer hardware such as operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems	AC				AC = Until electronic records are migrated to a new software environment or there are no electronic records being retained to meet an approved retention period that require the software for retrieval and access.		CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records. State RSIN 2.1.007, 2.1.008.	13 TAC 6.94
FS.062	4.2.000	Documents of Original Entry	Includes investment, cash deposit, purchase, general journal, and expenditure vouchers	3			FE			RSIN 4.2.001, Cash Deposit Vouchers; 4.2.005, Purchase Vouchers; 4.2.006, General Journal Vouchers; 4.2.007 Expenditure Vouchers	
FS.063	4.4.000	Ledgers	Includes general, accounts receivable, accounts payable, and payroll ledgers	3			FE			RSIN 4.4.001, General and Subsidiary Ledgers; 4.4.002, Accounts Receivable Ledgers; 4.4.003, Accounts Payable Ledgers; 4.4.004 Employee Savings Bond Ledgers	

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FS.064	4.5.000	Financial Reporting and Tracking Records	Includes internal, external, and special purpose reports and records used to track funds. Includes HUB, USAS, and budget and planning	3		FE				State RSIN 4.5.001, 4.5.002, 4.5.005, 4.5.007, 4.5.008, 4.5.009.	
FS.001	4.1.001	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.]	3		FE					

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FS.002	4.1.002	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.]	3			FE			CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.	
FS.003	4.1.003	Canceled Checks/Stubs/Warrants/Drafts	[At DIR, filed in FS.001, Accounts Payable Information (4.1.001).]	3			FE				

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FS.004	4.2.004	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.]	3			FE				
FS.005	4.1.005	Inventory and Other Cost Files	Production, job, labor, quotes, pricing, specifications, etc.	3			FE				
FS.011	4.2.005	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.]	3			FE				
FS.012	4.2.006	General Journal Vouchers	[At DIR, filed in FS.017, General Ledger (4.4.001).]	3			FE				
FS.013	4.2.007	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).]	3			FE				
FS.014	4.3.001	Sales Journals or Registers	[At DIR, filed in FS.002, Accounts Receivable (4.1.002).]	3			FE				
FS.015	4.3.002	Receipts Journals or Registers	[At DIR, filed in FS.002, Accounts Receivable (4.1.002).]	3			FE				
FS.016	4.3.003	Expenditures Journals or Registers	[At DIR, filed in FS.001 Accounts Payable Information (4.1.001).]	3			FE				

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FS.017	4.4.001	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.]	3			FE				
FS.018	4.4.002	Accounts Receivable Ledgers	[At DIR, filed in FS.002, Accounts Receivable (4.1.002).]	3			FE				
FS.019	4.4.003	Accounts Payable Ledgers	[At DIR, filed in FS.001, Accounts Payable Information (4.1.001).]	3			FE				

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FS.021	4.5.001	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).]	3			FE				
FS.023	4.5.003	Annual Financial Reports	Required by the General Appropriations Act (100 Day Report). Includes "External Reports, Special."	6			AC	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.	

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FS.032	4.7.002	Travel Advance Fund	[At DIR, used for Bank Statements. Includes Advance Log, Bank Statements and Reconciliations, related correspondence.]	3			FE				
FS.033	4.7.003	Returned Checks (uncollectible)	[At DIR filed in FS.002, Accounts Receivable (4.1.002).]	3			AC	AC=Issue reconciled.			
FS.034	4.7.004	Capital Asset Records	Includes fixed assets and capital purchases.	3			LA				
FS.035	4.7.005	Claim Files	[At DIR, filed in FS.001 Accounts Payable Information (4.1.001).]	3			AC	AC=claim satisfied.			
FS.036	4.7.006	Comptroller Statements	[At DIR, filed in FS.017 General Ledger (4.4.001).]	3			FE				
FS.037	4.7.007	Detail Chart Of Accounts	One for all accounts in use for a fiscal year.	3			FE				
FS.038	4.7.009	Fixed Asset Sequential Number Logs	Not used by DIR. Logbooks from Texas Facilities Commission Property System.	3			US				
FS.039	4.7.011	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.	3			FE				

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FS.040	3.2.000	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.]	5			AC	AC = after payment of taxes.			
FS.040a	3.2.001	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).]	4			AC	AC = After termination of employee or after amendment, expiration, or termination of authorization, whichever sooner.			
FS.040b	3.2.002	Employee Earnings Records (W-2 Forms)	Annual federal tax report.	4							40 TAC 815.106(i).
FS.040c	3.2.003	Federal Tax Records	Includes 1099, W2, FICA, and other tax records.	4			AC	AC = Tax due date, date the claim is filed, or date tax is paid whichever is later.		[At DIR includes 941 reports. Maintained quarterly.]	26 CFR 31.6001 - 1(e)(2).
FS.040d	3.2.004	Income Adjustment Authorizations	Used to make increases or decreases to employees' gross pay, FICA, retirement, or in the computation of taxes.	2							29 CFR 516.6(c).

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FS.040e	3.2.005	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."]	4			AC	AC = Until superseded, obsolete, or upon separation of employee.			26 CFR 31.6001-1 (e)(2).
FS.040g	3.2.007	Unemployment Compensation Records		5			AC	AC = Account is paid out.		[Includes workers' compensation & unemployment benefits paid.]	
FS.040h	3.2	Payroll Support Documentation		4			CE			[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.]	
FS.041	3.2.008	Direct Deposit Application/Authorizations	[Authorization to initiate and apply for direct deposit.]				US				
FS.043	4.5.007	USAS Reports - Daily		3			FE			[At DIR, daily reports kept for fiscal year rather than reconciling with monthly report.]	
FS.043a	4.5.009	USAS Reports - Annual	[Not used by DIR.]	3			FE				

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FS.045	4	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 = determined by financial services division. Attempts to purge obsolete records on an annual basis corrupted data, so practice was abandoned.	

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FS.047	4.1.002	Tex-AN/Capitol Complex Telephone System Billing Detail	<p>[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 &amp; Credits (OC&amp;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 &amp; Credits (OC&amp;C). In addition, other usage summary reports such as Credit Card, Circuit Exception, Division Cost Allocation summaries, and miscellaneous equipment reports (0000 &amp;</p>	3			FE			CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.	

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FS.051	4.1.001	Telecommunications Service Providers Billing Detail	[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.] 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	3			FE				

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FS.053	4.1.002	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. ]	3			FE			CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007	
FS.054	4.7.001	Accounting Policies and Procedures Manual		3			US				
FS.055	4.7	Credit Card Applications	[Consists of agency credit card applications and approvals.]	3			AC	AC = Credit card no longer active.			
FS.056	4.5	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.]	6			AC	AC = September 1 of odd-numbered years.			
FS.057	4.7.012	Signature Authorizations	Signature cards or similar records establishing authority of an agency employee to initiate or authorize financial transactions on behalf of an agency.	3			US+ FE				
FS.058	4.1.008	Electronic Fund Transfers	Direct Deposit Registers.	3			FE				
FS.059	4.5.005	External Fiscal Reports	Special purpose - i.e. federal financial reports, salary reports, etc. Includes HUB Reports.	3			FE				

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FS.060	4.7.010	Long-Term Liability Records	Bonds, etc. [Includes agency credit card applications for procurement and travel.]	3			AC	AC = Retirement of debt.			
HR.001	3.1.002	Personnel Files	May include, but is not limited to: employment applications and transcripts; certificates and licenses; agreements and acknowledgments; personal data; public access option forms; correspondence; benefit selections; training and awards; resignations; exit surveys; performance evaluations; personnel corrective action documentation; personnel disciplinary action documentation; personnel information or action forms, refund applications; and unemployment compensation records.	5			AC	AC = termination of employment.		NOTE: At the end of the retention period, return files for retrieval of information needed for Former Employee Verification Files, RSIN 3.3.011/AIN HR.031.  State RSIN 3.1.002, 3.1.011, 3.1.019, 3.1.020, 3.1.021, 3.1.022, 3.1.027, 3.1.031, 3.1.037, 3.1.038, 3.3.028.	29 CFR 1602.31, 1620.32(c).

<p><b>Retention Codes (field 7)</b></p> <p>AC – See event trigger for specific records series definition          AV – Administratively valuable          CE – Calendar year end</p>	<p>FE – Fiscal year end          LA – Life of Asset          PM – Permanent          US – Until Superseded</p>	<p><b>Archival Codes (Field 10)</b></p> <p>A/I – Transfer to State/University Archivist          R/O – Review by State/University Archivist</p>
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HR.001b	3.1.021	Personnel Disciplinary Action Documentation	Disciplinary actions are those actions which may affect pay, status, or tenure. They are imposed to discipline an employee whose conduct is harmful to the best interests of the state, the agency, or the employee work force, and for failure to improve performance or conduct following imposition of corrective action. May include cause for demotion, suspension, or dismissal, and the reasons for failure to give written notice of resignation. May also be used to document evidence of employee selfimprovement efforts, as well as favorable and unfavorable communication.	5			AC	AC = Termination of employment.			
HR.001c	3.1.027	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.)	5			AC	AC = Termination of employment.			

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				Years	Months	Days					
HR.001d	3.1.037	Employee Recognition Records	[At DIR, filed in HR.001, Personnel Files (3.1.002).] Awards, incentives, tenure, etc.	5			AC	AC = Termination of employment.			
HR.001e	3.1.022	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							29 CFR 1602.31 [State Agencies]. 29 CFR 1602.49(a) [State Universities].
HR.001f	3.1.020	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.	5			AC	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.	

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HR.001g	3.3.028	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.	5			AC	AC = Termination of employment			29 CFR 1602.31 [State Agencies]. 29 CFR 1602.49 [State Universities].
HR.001h	3.3.030	Training Administration Records	Instructional materials and other records associated with in-house training of agency personnel on personnel policies and procedures and other policies and procedures that govern an agency's programs, services, or projects.	2			US	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.]	
HR.002	3.4	Time/Accounting Codes	Accounting codes for employee time reports.								
HR.003	3.3.031	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.]	3							CFR 1602.32, 1602.39, 1602.41, 1602.48, and 1602.50.

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HR.006	3.1.014	Employment Selection Records	Includes notes and/or recordings of interviews with applicants; questions asked of applicants; results of qualifying tests; applicant scoring and ranking documents; documentation of reference checks; letters to executive director justifying selections and recommendations for hiring; and all other records that document the selection process.	2						CAUTION: Does not include criminal history checks. SEE item number RSIN 3.1.026/AIN HR.062, Criminal History Checks.  Note: Also includes RSIN 3.1.001, Applications for Employment – Not Hired; RSIN 3.1.012, Employment Opportunity Announcements	CFR 1602.31 [State Agencies].
HR.006a	3.1.001	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							29 CFR 1602.31 [State Agencies]. 29 CFR 1602.49(a) [State Universities].
HR.006b	3.1.012	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							29 CFR 1602.31(a) [State Agencies]. 29 CFR 1602.49(a) [State Universities].
HR.007	3.1.013	Employment Contracts		7			AC	AC = Expiration or termination of the contract according to its terms.			Texas Government Code, 441.1855

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HR.012	3.1.023	Position/Job Descriptions and Classification Review File	Job descriptions, including all associated task or skill statements, for positions in an agency. To include review and monitoring of job classifications within DIR.	4			AC	AC = Until superseded or job eliminated.			40 TAC 815.106(i).
HR.015	3.1.034	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			SEE item number 3.1.014 for resumes, whether solicited or unsolicited, that are used in any way in the employment selection process.	
HR.016	3.1	Performance Evaluation Oversight	Materials used to oversee the employee performance evaluation program.				AV				
HR.017	3.1.029	Employment Eligibility, Documentation or Verification of	Federal reporting form (INS I-9).	5			AC	AC = Termination of employment.		CAUTION: Federal regulation requires that INS 1-9 forms be retained for 3 years from date of hire or 1 year after separation of the employee, whichever 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).

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HR.018	3.1.018	Grievance Records	Records relating to the review of employee grievances against personnel policies, working conditions, etc.	2			AC	AC = Final decision on the grievance.		CAUTION: Does not include formal complaints filed by an agency employee with the Equal Employment Office (EEO) of the U. S. Department of Labor. See item number RSIN 1.1.048/AIN AD.044 Litigation Files.	
HR.021	3.2.006	Pay Scales	[Used for TSRRS Wage Rate Tables. Comes from Comptroller's Office or the State Auditor's Classification Office.]	2							29 CFR 516.6(a)(2).
HR.023	3.3.010	Labor Statistics Reports	Reports providing statistical information on labor force. [Includes parity reports and workforce utilization analysis and documents used to create the reports.]	3							
HR.024	3.2.009	State Deferred Compensation Records	[Applies to both 457 (Deferred Compensation and 401K.)	5			AC	AC = All accounts with a vendor or vendors for the individual participant have been closed.		For instructions regarding the determination of the closure of accounts and for additional information regarding the retention period see the most current edition of the Benefits Coordinator Reference Manual issued by the Employees Retirement System of Texas.	
HR.025	3.2.010	Human Resources Information System (HRIS) Reports	Includes supporting documentation. [Includes EEO4 Report and Veterans Report received from Comptroller's Office.]	4			AC	AC=completed.			

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HR.027	3.3.004	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.]	1			US				29 CFR 1627.3(b)(2)
HR.028	3.3.026	Agency Staffing Reports	Any reports compiled by an agency on aspects of personnel staffing, including listings of all staff by program or name; staff hired during a month; detailed listings of employees within its organizational structure, position vacancies, analyses of turnover rates and seasonality of employment, etc. [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.]	3			US				

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HR.031	3.3.011	Former Employee Verification Records	Minimum information needed to verify employment includes name, social security number, exact dates of employment, last known address and most recent public access option form.	75			AC	AC = Termination of employment.		See RSIN 3.1.038, Public Access Option Form/AIN HR 3.1.000, Personnel Files  [From 1985-1994 can be found in DIR database; since 1994 found in USPS.]	
HR.032	3.1.022	Letters of Authorization to USAS	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.	2						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.	29 CFR 1602.31 [State Agencies].
HR.035	3.3.015	Positions/Job Classification Review File	Records relating to review and monitoring of job classifications within an agency.	3			US				
HR.039	3.3.020	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.]	1			US				

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HR.040	3.3.023	Reimbursable Activities, Requests and Authorizations to Engage in	Requests and authorizations for travel; participation in educational programs, workshops, or college classes; or for other work-related activities for which the expenses of the employee are defrayed or reimbursed. [Includes Travel Authorization Requests, Tuition Assistance Requests, requisitions, purchase orders, justification, registration materials for educational events and authorization to reimburse	3			FE			SEE FS.013. Included with Travel Voucher.	
HR.041	3.3.022	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.]	3							

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HR.042	3.4.001	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.)]	4			FE				40 TAC 815.6(i)
HR.044	3.4.003	Less Than Full-Time Worked Reports	Dates and hours.	4							40 TAC 815.106(i).
HR.047	3.4.006	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.]	4							40 TAC 815.106(i).

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HR.049	3.4.008	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.	3			FE				
HR.052	3.1.019	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							29 CFR 1620.32(c).
HR.055	3.1.006	Employee Counseling Records	Notes, memoranda, or reports relating to the counseling of an employee for work-related, personal, or substance abuse problems. Usually maintained at the supervisorial level except in those agencies with counseling staff.	3			AC	AC = Termination of counseling.		Reference Supervisor Personnel Journal	
HR.056	3.2.001	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.	4			AC	AC = After termination of employee or after amendment, expiration, or termination of authorization, whichever sooner.			

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HR.060	3.1.024	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.]	2			AC	AC = Until superseded or termination of employment.		CAUTION: Does not include preemployment physical examinations. SEE item number 3.1.014. Employment Selection Records. 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]	
HR.061	3.1	Reponses to Discrimination Charges	Includes information from the Texas Rights Commission or Equal Employment Opportunity Commission.	1			AC	AC = after resolution of charges.			

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# STATE OF TEXAS Records Retention Schedule

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HR.062	3.1.026	Criminal History Checks	Criminal history record information on job applicants or agency employees obtained from the Department of Public Safety (DPS) or other security organizations such as the FBI, etc. .				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.	
HR.063	3.1	Employee Recognition Selection Program	[Includes original nomination forms, Employee Recognition Committee's scoring and selection documents, program procedures and related reports.	2			AC	AC = one year from the end of the quarter in which the staff member was nominated for the award			
HR.064	3.3.024	Personnel Policies and Procedures	Any internally distributed manuals, guidelines, or similar records that define agency wide policies and procedures concerning the personnel of an agency. Includes Employee Handbooks, New Employee Orientation, etc.	3			US				
HR.065	3.1.011	Employee Insurance Records	Agency copies of information relating to the selection by employees of life, disability, health, and other types of insurance offered by the State of Texas to its employees.				AC	AC = Until superseded or termination of employment.		CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item number 3.2.001.	

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HR.066	3.1.035	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.	4			AC	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.	
HR.067	3.1.036	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.	5							29 CFR 30.8(e).
HR.068	3.1.038	Public Access Option Form	Form completed and signed by employee or official, or former employee or official, electing to keep home address, home telephone number, social security number, and family information open or confidential under the Public Information Act, Government Code 552.024.				US			SEE item number 3.3.011.	

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HR.069	3.1.039	Ombudsman Records	[Not used by DIR.] Consultation records, notes, letters, memos, emails, reports and other documentation.				AC	AC = Final decision or matter closed.		CAUTION: Does not include formal complaint filed with EEO. If matter becomes a grievance or the subject of counseling or litigation, or employee is subject to disciplinary action, the records are subject to retention in the appropriate records series. SEE 1.1.048, 3.1.006, 3.1.018, 3.1.020, and 3.1.021.	
HR.070	3.3.001	Affirmative Action Plans	Affirmative action plans for both regular employees and apprenticeship programs.	5							29 CFR 30.8(e) for apprenticeship plans.
HR.072	3.3.027	Aptitude and Skills Tests	Aptitude or skills tests required of job applicants or of current personnel to qualify for promotion or transfer. [Tests may be made available on public workstation in DIR's library.]	2			US				29 CFR 1602.31 [State Agencies].
HR.073	3.3.032	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.	3							29 CFR 1620.32.

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HR.074	3.4.000	Leave Accounting Records	Records of time worked and leave activity including leave requests, accruals, activity, history, and balances. Includes leave approvals, overtime authorizations, less than full-time reports, and work schedules. Maintained in Automated Human Resources system.	4			FE			RSIN 3.4.001, Accumulated Leave Adjustment Requests; 3.4.002, Leave Status Reports; 3.4.003 Less Than Full-Time Worked Reports; 3.4.004, Overtime Authorizations; 3.4.005, Overtime Schedules; 3.4.006, Time Cards and Time Sheets; 3.4.007, Time Off and/or Sick Leave Requests	40 TAC 815.106(i).
MA.007b	0	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=decision of staff responsible for collecting copies. DIR receives copies per statute. Used for reference.	
MA.007c	0	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=decision of staff responsible for collecting copies. DIR receives copies per statute. Used for reference.	

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MA.011	0.1	Agency IR Strategic Plans Prior to 9/1/1999	[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.]	10			US			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
MA.012b	0	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=decision of staff responsible for collecting copies. DIR receives copies per statute. Used for reference.	
MA.014	0.1	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.	3			AC	AC=decision of division director responsible for data center contract, management, and/or operations.			

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MA.021	0.1	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.	4			AC	AC = Project Completed.			
MA.022	0	Legislative Appropriation Request (LAR) Reviews - Received	Copies of agency LARs received biennially from other agencies. Includes analyst's notes.				US			Used for reference.	
MA.023	0.1	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-ofcompliance letters, etc.	2			AC	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.	
MA.026	5.1.004	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				

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MA.027	0.1	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	4			AC	AC = Expiration or termination of the contract or Master Work Order whichever comes later.			
MA.028	0.1	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	4			AC	AC = Expiration or termination of Texas Online contract (not Master work order)			

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MA.029	0.1	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.]	3			AC	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)	
PR.007	0.2	Employee Public Service Projects	Includes: United Way, Great American Smokeout, etc.	1							
PR.010	5.1.001	Information Services Project Files	Records documenting the planning, purchasing, implementing, etc. of information management systems throughout state agencies.	7			AC	AC=Project Completed Expiration or termination of the instrument according to its terms, or decision not to proceed with the bid and fiscal year end in which contract expires. SEE also item number RSIN 5.1.001/AIN SS.001.		Includes customer work orders, bid specifications, bid responses, notifications, amendments, schedules, vendor schedules, requisition and backup documentation.	

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PR.011	0.2	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.).	4			AC	AC=All work on event completed.			
PR.014	0.2	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, email, 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.]	4			AC	AC=end of specific phase (such as publication of a document) under the umbrella of a larger project or end of entire project.		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. Excludes working papers for proposed legislation (see AD.026a). Some records may be confidential.	

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PR.016	0.2	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.]	1			AC	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.			
PR.017	0.2	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 (Nonfiscal) Includes bill analyses and hearing reports during legislative sessions or for interim legislative committees].	2			AC	AC = Completion of project. For hearing reports and bill analyses, AC = end of session.			

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SS.001	5.1.001	Contracts and Leases	Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. May also include other applicable documentation in the master contract file per Texas Comptroller of Public Accounts Contract Management Guide.	7			AC	AC = Expiration or termination of the instrument according to its terms.		[At DIR, generally kept to end of fiscal year in which retention period expires.] SEE also related item numbers RSIN 3.1.035 and RSIN 5.3.007/AIN SS.031, Bid Documentation; SEE item number RSIN 5.2.028 for building construction contracts and item number RSIN 5.1.017/AIN SS.001a for contract logs.	Texas Government Code 441.1855
SS.001a	5.1.017	Contract Log	List of agency contracts, leases, and agreements including general obligation, land lease, utilities, and construction contracts.	3			FE				
SS.001b	5.1.001	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.]	4			AC	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.	

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SS.001c	5.1.001	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.]	4			AC	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.	
SS.002	5.3.005	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.]	3			FE			Packing slips are filed with expenditure vouchers.	
SS.003	5.1.003	Receiving Report	[At DIR, used for TSRRS Delivery Reports. Includes receipts from FedEx, UPS, etc.]	3			FE				
SS.004	5.1.004	Mail and Telecommunications Listings	Any mailing address, telephone or fax number, or e-mail address records maintained by an agency on its employees or on entities or persons it serves.				US			[Includes IRM and Executive Directors Database.]	
SS.005	5.1.005	Postage Records	Records and reports of postage expenses, including postal meter usage.	3			FE				

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SS.006	5.1.007	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				
SS.007	5.4.012	Security Access Records	Records relating to the issuance of keys, identification cards, building passes, passwords, signed statements or similar instruments of access to agency 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).	2			AC	AC = Until superseded, date of expiration, or date of termination, whichever sooner.			

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SS.008	5.1.011	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				
SS.009	5.2.003	Building Plans And Specifications: State Owned	Includes architectural and engineering drawings, profiles, and blueprints.				LA	R	SEE ALSO item numbers 5.2.002 and 5.2.028. ARCHIVES NOTE: Archival review designation is for state-owned buildings only.		
SS.010	5.2.003	Building Plans And Specifications: Leased	Includes architectural and engineering drawings, profiles, and blueprints.	2			AC		AC = For leased buildings; termination or cancellation of lease.	SEE ALSO item numbers 5.2.002 and 5.2.028.	
SS.011	5.2.004	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.]	1			FE				

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				Years	Months	Days					
SS.014	5.2.008	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.]	3			LA			All audit requirements will be met prior to disposal. For service agreements or contracts related to equipment repairs and service, retain in accordance with RSIN 5.1.001/AIN SS.001.	
SS.015	5.2.009	Equipment Inventory Detail Report Forms	Updates agency portion of the inventory listing and adds, changes, transfers, or deletes items from inventory.	3			FE				
SS.016	5.2.010	Equipment Manuals					LA				
SS.018	5.2.012	Estimate Files (Supply and Repair Cost Estimates)	Cost estimates for work to be performed.	1							

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# STATE OF TEXAS

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SS.019	5.4.003	Inspection Records	Fire, safety, and other inspection records of agency facilities and equipment. Retention 3 years if no deficiency reported	3			AC	AC = Inspection, or date of the correction of the deficiency if the inspection report reveals a deficiency.		CAUTION: Does not include inspection reports of building construction. SEE item number RSIN 5.2.028.	
SS.020	5.2.014	Inventory - Annual Physical	Property, equipment, supply verification.	3			FE				
SS.024	5.2.020	Supply Usage Records	[At DIR, includes inventory tracking spreadsheet of office supplies. Includes staff requests and division charges. Kept in Supply Room.]	1			FE				
SS.025	5.2.021	Surplus Property Sale Reports		3			FE				
SS.026	5.2.023	Year-to-Date Activity (Inventory Listing)	Shows additions, changes, transfers, and deletions of information within the inventory system. Data include agency, division, tag number, batch, document, transaction date, location, item code, description, date, and cost. [Keep green sheets with Property Management] Monthly report shows financial transactions - APR# - annual financial report]	3			FE				
SS.027	5.2.027	Space Utilization Reports					AV				
SS.029	5.3.003	Freight Claims	Attach to P.O. of disputed items.	2			AC	AC = Resolution of claim.			
SS.030	5.1.012	Charge Schedules/Price Lists	Schedules of prices charged by an agency for services to the public or other agencies, including any documentation used to determine the charges.	3			US				

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SS.031	5.3.007	Bid Documentation	Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, successful and unsuccessful bids, and bid tabulation/evaluations.	7			AC	AC=Expiration or termination of the instrument according to its terms, or decision not to proceed with the bid.		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]	
SS.031a	5.3.007 c	Bid Documentation	Unsuccessful bids that do not meet agency submission requirements and are not included in bid evaluation process (e.g. withdrawn, missed submission deadline, incomplete submission, etc.).	2			AC	AC=Date of notification of denial or date of withdrawal, as applicable.			
SS.032a	5.3.008	Purchasing Logs	Not used by DIR. Log, register, etc., providing a record of purchase orders issued, orders received, and similar data on procurement status.	3			FE				
SS.032b	4.2	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.	3			FE				

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SS.032d	4.2	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).	3			FE				
SS.033	5.3.009	Preliminary Procurement Information Requests	Requests for information preliminary to the procurement of goods or services by direct purchase or bid.				AC	AC = Decision not to proceed with the procurement or date of direct purchase, issuance of request for bids, as applicable. as applicable.		CAUTION: If the request for information leads to request for proposal or bid, the request for information documentation should be retained in accordance with RSIN 5.3.007 a. or c./AIN SS.031 or a.	
SS.034S	5.4.001	Accident Reports and Associated Documentation	Accident or occupational disease reports (by supervisors and employees) and other associated reports required to be submitted to the Texas Department of Insurance or its predecessors or maintained internally on accident frequency.	5			CE			The Texas Department of Insurance retains copies of the reports submitted to it for 50 years.	29 CFR 1904.33.
SS.035	5.4.002	Evacuation Plans	Plans for evacuation of agency facilities in cases of emergency.				US				
SS.037	5.4.004	Fire Orders	Orders issued by Fire Marshal to correct deficiencies in compliance with the fire code.	3			AC	AC = Deficiency corrected.			
SS.040	5.4.007	Hazardous Materials Training Records	[Not used by DIR.] Records of training given employees in an agency hazard communications program.	5							Health and Safety Code, § 502.009(g).

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SS.041	5.5.001	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.]	3			FE			SEE item number 5.5.006 for TEXAN billing detail.	
SS.042	5.5.002	Long Distance Telephone Logs	Long distance logs created by agencies for internal documentation purposes. Includes any similar logs created for long distance facsimile or electronic transmissions. [DIR internal agency use records. NOT part of telecom financial records.]				AV				
SS.043	5.5.006	Billing Detail - Telecommunications (TEXAN)	[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.]	3			FE			The billing agency will maintain all long distance TEX-AN records and will provide each using agency its bill summary of centralized capitol complex telephone service without call detail records. For these bill summaries, SEE item number 4.7.011. SEE item number 5.5.001 for billing detail from carriers other than TEXAN.	

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SS.044	5.5.007	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.]	3			FE				
SS.045	5.6.003	Inspection Repair and Maintenance Records - Vehicles		1			LA				
SS.046	5.6.004	License & Driving Record Checks					AC	AC = Until superseded or until termination of employment.			
SS.047	5.6.005	Vehicle Use Reports	Includes mileage, fuel/oil consumption, passengers carried and other related operational information.	3			FE				
SS.049	5.6.007	Vehicle Titles & Registration					LA				
SS.050	5.6.009	Parking Permits Or Assignments	Includes parking applications, waiting lists, and other applicable supporting documentation.				US				

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SS.053	5.2	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				
SS.058	5.2.008	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]	3			LA				
SS.060	5.1.015	Correspondence Tracking Records	Any record created by an agency to track any type of incoming and outgoing correspondence or packages by the U.S. Postal Service or by private couriers. [At DIR includes: logs for distributing packages and faxes to staff.]	1							

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SS.060a	5.1	Legislative Contact	[At DIR, logs or files documenting correspondence, telephone calls, and meetings with legislators or staffs of legislators.]	3			FE			Electronic records are considered the record copy.	
SS.061	5.2.019	Service Orders	Agency copy of forms completed by mechanical service personnel for installation or repair. Includes billing code, service, labor, parts, and remarks.	1							
SS.062	5.2.026	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							
SS.063	5.1	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				
SS.064	5.4	Visitor Log	Used to note visitors and provide identification in case of emergencies. Includes visitor's name, company, date of visit, and person meeting only.	1							

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SS.064a	5.4.011	Visitor Control Registers	Logs, registers, or similar records documenting visitors to limited access or restricted areas of agency facilities.	3							
SS.066	5.3	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.]	3			AC	AC = completion of work.			
SS.070	5.1.014	Office Procedures	Any internally distributed manual, guidelines, or similar records that establish standard office procedures for an agency; for example, agency style manuals, telephone protocols, mail room procedures, print shop and photocopy ordering instructions.	1			US				
SS.071	5.1.013	Insurance Policies	For vehicles, equipment, etc.	7			AC	AC = Expiration or termination of the policy according to its terms.			Texas Government Code, 441.1855
SS.072	5.2.025	Equipment Descriptions and Specifications		2			AC	AC = Equipment is no longer in the agency.			

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SS.073	5.4.013	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				

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