

February 16, 2023



Lindsay Seymour
William P. Clements Building
300 W. 15th Street, Room 406
Austin, TX 78701

Dear Lindsay Seymour,

The 9th recertification of your agency's records retention schedule is approved for use as of **1/27/2023**, and it may be accessed on our website at <https://www.tsl.texas.gov/slrn/state/schedules>. Please ensure that all old copies of the schedule are superseded with this certified copy.

Lorenzo de Zavala
State Archives and
Library Building

1201 Brazos Street
Austin, Texas
78701

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

www.tsl.texas.gov

Commission Chair
Martha Wong

Members

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

Director and Librarian
Gloria Meraz

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

Each agency schedule must be reviewed, updated, and submitted for recertification according to a timeline established by the Texas State Library and Archives Commission. Your next recertification is scheduled for **January 2028**.

During a certification period, changes may need to be made to your schedule. State rules (13 TAC §6.4) also allow for the submission of amendments to the retention schedule as needed to keep the information in the schedule current. If you are not familiar with the amendment process, or if you have any other questions, please contact the Government Information Analyst assigned to your agency:

Katherine Hoffman
khoffman@tsl.texas.gov
512-463-2631

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 be "C. Kelso".

Craig Kelso
Director and State Records Administrator

cc: Agency head

TSLAC

Preserving yesterday
Informing today
Inspiring tomorrow



STATE OF TEXAS

Records Retention Schedule Certification

SLR 105C

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

Section 1. Agency Information

(Submitting agencies complete this section only)

Agency Code 338
Agency Name Texas Pension Review Board

(Check one)

- Initial Certification - Form SLR 105
Recertification - Form SLR 105
Amendment - Form SLR 122

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

(Check one)

- Agency Head
Records Management Officer

Signature Lindsay Seymour
Name (Print or type) Lindsay Seymour
Date 6/27/2022

Section 2. Approvals

(Submitting agencies do not write in this section)

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

Not Required at This Time

Signature
Name (Print or type)
Date

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

Signature Gloria Mera
Name (Print or type) Gloria Mera
Date 1-27-2023

Cert/Recert No. 9 Amendment No.

CAUTION

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

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

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





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SLR 105
Rev. 2017-07

Retention Codes (field 7)

AC – See field 9 for specific records series definition
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 LA – Life of Asset
 PM – Permanent
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Archival Codes (Field 10)

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

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					Years	Months	Days				
1	1.1.002	Audits	Audits and reviews performed by or on behalf of an agency, including the working papers that support the audit. Also includes audits performed on the agency.	AC	7			AC = Publication or release of final audit findings.		The State Auditor's Office retains any copies of its audits performed on Texas state agencies.	
2	1.1.004	Legislative Appropriation Requests	Including any supporting documentation created and/or used to justify and support legislative appropriation requests by an agency.	AC	6			AC = September 1 or odd-numbered calendar years.		ARCHIVES NOTE: The final version of Legislative Appropriation Requests must be submitted to the Texas State Publications Depository Program per 13 TAC 3.3(a)(3)(A). Working files and related documentation used in creating the final plan are not subject to archival review and may be disposed of at the expiration of the retention period.	



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3	1.1.006	Complaint Files	Complaints and other unsolicited feedback received by an agency from the public concerning the agency and records pertaining to the resolution of complaints.	AC	2			AC= Date of receipt, action taken, or final disposition of the complaint, whichever is later.		CAUTION: If a complaint becomes the subject of litigation, it must be included in and is subject to the minimum retention period of item number 1.1.048.	



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4	1.1.007	Correspondence - Administrative	Incoming/outgoing and internal correspondence pertaining to the formulation, planning, implementation, interpretation, modification, or redefinition of the programs, services, or projects of an agency and the administrative regulations, policies, and procedures that govern them.	4					R	ARCHIVES NOTE: Only the administrative correspondence of executive, 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 AIN 5 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 in AIN 2; a letter concerning an audit for that prescribed in AIN 1, etc.	



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5	1.1.008	Correspondence - General	Non-administrative incoming/outgoing and internal correspondence, in any media pertaining to or arising from the routine operations of the policies, programs, services, or projects of an agency.		2					See comments to AIN 4	
6	1.1.010	Directives	Any document that officially initiates, rescinds, or amends general office procedures.	US	1						



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7	1.1.013	Calendars, Appointments 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.	CE	1				R	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. 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 records and subject to this retention period. See Open Records Decision 635 issued in December 1995 by the Attorney General. Contact the State Archives when these records have met their retention period.	



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8	1.1.014	Legal Opinions and Advice	From agency legal counsel or the Attorney General, including any requests eliciting the opinions.	AV					R	CAUTION: Does not include legal opinions or advice rendered on a matter in litigation or with regard to pending litigation, or opinions rendered for Public Information Act Requests. See AIN 19, AIN 9, and AIN 10. ARCHIVES NOTE: Opinions and advice that set legal precedent or exhibit historical value will be evaluated by the Archives and Information Services Division of the Texas State Library and Archives Commission for archival preservation.	
9	1.1.020	Public Information Requests–Not Excepted	Includes correspondence and documentation relating to requests for records that are furnished to the public under Public Information Act (Chapter 552, Government Code). Also includes withdrawn requests.	AC	1			AC = Date Request fulfilled or withdrawn.			



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10	1.1.021	Public Information Requests–Excepted	Includes all correspondence and documentation relating to requests for records that are exempt under the Public Information Act (Chapter 552, Government Code), including records provided to the legislature under section 552.008.	AC	2			AC = Date of notification that records are excepted.			
11	1.1.023	Organizational Charts	Charts or diagrams that show the structure of an agency and the relationships and relative ranks of its departments and job positions.	US					A	ARCHIVES NOTE: Only charts showing the overall arrangement and administrative structure of the state agency need to be transferred to the Archives and Information Services Division, Texas State Library and Archives Commission. Organizational charts showing division/department level detail are not considered archival.	



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12	1.1.024	Plans & Planning Records	Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC	3			AC = Decision made to implement or not to implement result of planning process.	R	ARCHIVES NOTE: Data processing planning records are not archival.	
13	1.1.026	Texas Register Submissions	Copies of all proposed, withdrawn, emergency and adopted rules; open meetings notices; or any other documents required by law to be submitted to the Texas Register.	AC	1			AC = Date of publication in the Texas Register			
14	1.1.027	Proposed Legislation	Drafts of Pension related legislation, actuarial analysis, actuarial reviews, impact statements, fiscal notes, and related correspondence.	AV							
15	1.1.038	Surveys and Questionnaires	Surveys soliciting feedback from customers, clients, or stakeholders of an agency, and the statistical data maintained rating an agency's performance.	AC	1			AC= Final disposition of summary report, or date of decision not to produce a report, as applicable. See RSIN 1.1.067 for summary reports compiled from customer surveys.		CAUTION: Do not dispose of until completion of final summary report.	



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16	1.1.040	Speeches, Papers & Presentations	Notes or texts of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	2			AC= End of term in office/termination of service in a state position.	R	ARCHIVES NOTE: Only speeches, papers, and presentations given by or on behalf of executive staff, board or commission members, division directors and program heads require archival review.	
18	1.1.043	Training Materials	Instructional materials developed by an agency for training entities or individuals it regulates or serves, including but not limited to training manuals, course registration, class rosters, sign-in sheets, syllabuses, course outlines, and similar training aids.	AC	1					CAUTION: Does not include hazardous material training records. See RSIN 5.4.007.	



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19	1.1.048	Litigation Files	Records created by or on behalf of an agency in anticipation of or in adjudication of a lawsuit.	AC	1			AC = As applicable, decision of an agency not to file a lawsuit or decision that a lawsuit will not be filed against it on a matter; dismissal of a lawsuit for want of prosecution or on motion of the plaintiff; or final decision of a court (or of a court on appeal, if applicable) in a lawsuit.	R	ARCHIVES NOTE: Cases that set legal precedent or exhibit historical value will be evaluated by the Archives and Information Services Division of the Texas State Library and Archives Commission for archival preservation.	



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20	1.1.055	Strategic Plans	Operational strategic plans, which include descriptions of information resources programs, prepared in accordance with Government Code, 2054.095 and 2056.002. Includes working files and related documentation used in creating the final plan.	AC	6			AC = September 1 of odd-numbered calendar years.		ARCHIVES NOTE: The final version of Strategic Plans must be submitted to the Texas State Publications Depository Program per 13 TAC 3.3(a)(2)(C). Working files and related documentation used in creating the final plan are not subject to archival review and may be disposed of at the expiration of the retention period. 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.	
21	1.1.056	ADA (Americans with Disabilities Act) Documentation	Self-evaluations and plans documenting compliance with the requirements of the Americans with Disabilities Act.		3						28 CFR 35.105(c)



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					Years	Months	Days				
22	1.1.057	Transitory Information	Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's record keeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; telephone message notifications; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation of a specific agency transaction.	AC				AC = Purpose of record has been fulfilled.		The disposal of transitory information need not be documented through destruction authorizations (1.2.001) or in records disposition logs (1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (1.2.014)	



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23	1.1.058	Meetings, Agenda & Minutes of Open	Agendas and minutes of state boards, committees, commissions and councils that conduct open meetings as required by Government Code, Chapter 551.	PM					A	AGENCY NOTE: Agendas are filed with official copy of minutes. 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.	
24	1.1.059	Meetings, Certified Agendas or Audiovisual Recordings of Closed	Certified agendas or audiovisual recordings of closed meetings of state boards, commissions, committees, or councils.	AC	2			AC = the date of the meeting or completion of pending action involving the meeting, whichever is later.			Government Code, 551.104(a).



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					Years	Months	Days				
25	1.1.060	Meetings, Audiovisual Recordings of Open	Audiovisual recordings of open meetings of state boards, commissions, committees, or councils.	AC			90	AC = Official approval of written minutes of the meeting by the governing body of an agency.		CAUTION: Minutes of state agencies are permanent records. Audio and videotapes are not permanent media. State agencies may not retain audio or videotapes of the meetings of governing bodies in lieu of written minutes. The proceedings of all meetings of state boards, committees, commissions, and councils must be reduced to writing. SEE caution comment at AIN 23.	
26	1.1.061	Meeting – Notes	Notes taken during open meetings of state boards, commissions, committees, and councils, from which written minutes are prepared	AC			90	AC=Approval of the formal minutes by the governing board			



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					Years	Months	Days				
26a	1.1.062	Meetings - Supporting Documentation	Documents submitted at meetings of state boards, commissions, committees, and councils, including exhibit items, documentation for agenda items, public comment forms, etc. Includes documents sent in advance of meetings for briefing purposes, some of which may not be submitted at an actual meeting.	2					A	See caution comment at RSIN 1.1.058.	
27	1.1.063	Staff Meeting Minutes and Notes	Minutes or notes, and supporting documentation taken at internal agency staff meetings.		1						
28	1.1.064	Agency Performance Measures Documentation	Any records of an agency needed for the documentation of output, outcome, efficiency, and explanatory measures in an agency's appropriations request or strategic plan, and for performance measures used to manage the agency.	FE	3					CAUTION: The FE + 3 retention period overrides any shorter retention period for a records series in this schedule if the records series is needed for documentation of agency performance measures.	



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29	1.1.065	Reports and Studies (Non-Fiscal) – Raw Data	Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV						CAUTION: Does not include source documentation used for information or data included in or directly related to another records series in this schedule. SEE AIN 28.	
30	1.1.066	Reports – Biennial or Annual Agency (Narrative)	Biennial narrative reports to the governor and legislature as required by an agency's enabling statutes, including annual narrative reports if they are required by statute.	AC	6			AC = September 1 of odd-numbered calendar years		ARCHIVES NOTE: The final version of these agency reports must be submitted to the Texas State Publications Depository Program per 13 TAC 3.3. The requirement is met by sending the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission. Working files and related documentation used in creating the final report may be disposed of at the expiration of the retention period.	



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31	1.1.067	Reports & 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	This series does not include Pension Plan Studies. SEE Agency No. PPF1. ARCHIVES NOTE: Reports are archival when they deal with significant aspects of the agency's programs. For agencies that have had an archival appraisal, separate this records series by each type of archival coding, A, R, or E.	
32	1.1.068	Reports on Performance Measures	Quarterly and annual reports on agency performance measures submitted to executive and legislative offices.	AC	6			AC = September 1 of odd-numbered calendar years.			
33	1.1.069	Reports - Activity	Reports compiled by agency personnel on a daily or other periodic basis pertaining to workload monitoring, task completion times, number of public contacts and similar activities.		1					CAUTION: See AIN 28	



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34	1.1.070	Agency Rules, Policies & Procedures - Final	Manuals, guidelines, administrative rules, or similar records and working files used in the development of agency rules, policies and procedures distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, polices, and procedures that govern an agency's programs, services or projects.	AC	3			AC = Completion or termination of program, rules, policies or procedures.	R	ARCHIVES NOTE: Working files and related documentation used in creating the final rules, policies, and procedures, are not subject to archival requiremet and may be disposed of at the expiration of the retention period.	
35	1.1.072	Public Information Reports	Reports made to the Office of the Attorney General on an agency's Public Information Act activities.		2						
36	1.1.074	Sunset Review Report and Documentation	Sunset Review Report, agency self-study, and other correspondence and supporting documentation related to the Sunset review process for state agencies.	AC	3			AC=After the subsequent Sunset Review.	R	ARCHIVES NOTE: Related documentation includes the agency self-evaluation report, agency response to the commission's draft report, and documentation of the agency's implementation of the commission's final recommendations.	



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37	1.2.001	Destruction Authorizations	Documents authorizing final disposition of records under a certified records retention schedule. Records may also include destruction authorizations (e.g. form RMD 102) approved by Texas State Library and Archives Commission.	FE	3					CAUTION: If destruction authorizations are maintained as part of AIN 42 (Records Disposition Logs), then longer retention period applies.	
38	1.2.003	Forms History and Maintenance	Master versions of all forms used internally and externally by the agency, including subsequent revisions to an agency form or any associated design or design modification requests.	AC	2			AC= Until superseded or use of form is discontinued.			
39	1.2.005	Records Retention Schedule (SLR 105)	Agency Copy. Includes documentation of certification and approval - forms SLR 105C and/or other forms designated by the State Records Administrator.	US						Original is maintained by the State and Local Records Management Division, Texas State Library and Archives Commission.	
40	1.2.006	Records Transmittal Forms	Agency Copy (includes RMD 101, TX-R-5, 3067-58-1, and Agency Storage Forms). Forms indicate records transferred to storage or a transfer of legal custody.	AV							



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42	1.2.010	Records Disposition Logs	Logs or similar records listing records destroyed or transferred to the Archives and Information Services Division, Texas State Library and Archives Commission, showing records series title, dates of records and date destroyed or transferred.		10					CAUTION: Disposition can mean destroyed or transferred.	
43	1.2.013	Records Access and Locator Aids	Documentation used to provide and improve access to records. Includes indexes, card files, shelf lists, registers, guides, and other finding aids.	AC				AC= When aid is superceded, or no longer needed because associated records have been destroyed.		CAUTION: These records must carry the same retention period and archival code of the records they support.	
44	1.2.012	Records Inventories	Worksheets or working papers used to capture records inventory information, including location tracking and to document existence and requirements of a records series.	US							
45	1.2.014	Records Management Plans	Records management plans and similar records that establish the policies and procedures under which records and information are managed in an agency.	US	1						



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46	1.2.015	Disaster Recovery Service Transmittals (RMD 109)	Also includes documentation for disaster recovery services provided by other entities.	AV							
47	1.2.016	Disaster Recovery Service Approval Forms	Forms used by TSLAC (e.g. form RMD 113) or other entities to establish disaster recovery services, authorize agency staff to access media, etc.	AC				AC = Until superseded or termination of service.			



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48	1.3.001	State Publications	One copy of each state publication defined as "information in any format that is produced by the authority of or at the total or partial expense of a state agency or is required to be distributed under law by the agency, and is publicly distributed", except a publication that is subject to a different retention period in this schedule. For example, a meeting agenda (see AIN 23) also meets the definition, but it must be retained permanently.	AC	2			AC = Until superseded or obsolete		CAUTION: Many state publications must be submitted to the Texas State Publications Depository Program, Texas State Library and Archives Commission, by law (Government Code 441.103-441.105). The Texas State Library and Archives Commission will retain a copy of all state publications submitted to it on a continuing basis, subject to periodic evaluation to determine if the publication merits further retention. For additional information and requirements concerning state publications made available to the public through the Internet, consult the administrative rules of the Texas State Publications Depository Program of the Texas State Library and Archives Commission (13 TAC §§3.1-3.8).	



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49	1.3.002	Publication Development Files	Physical and digital development and design files used to create State Publications, including but not limited to background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV					R	See AIN 48 for final State Publications created from development files. ARCHIVES NOTE: Successive and substantive drafts of major publications may be archival. Major is defined by both the publication's authorship and its impact on Texas and Texans. Original artwork, including photo prints and negatives that have significant value as evidence of agency programs as well as the potential for re-use, may be archival.	



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50	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, date tables of relational databases used by applications or computer programs.	AC				AC = Until electronic records are transferred to and made usable in a new system environment, or there are no electronic records being retained to meet an approved retention period established in this schedule that require the use of the system.		CAUTION: Records management officers must be certain before assigning the retention period of AC to agency master files and application data that the files do not fall under records series listed elsewhere.	
51	2.1.007	Software Programs	Automated software applications and operating system files including job control language, program listing/source code, etc.	AC				AC = Until electronic records are transferred to and made usable in a new software environment or there are no electronic records being retained to meet an approved retention period that require the software to be retrieved and read.		CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.	13 TAC 6.94



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52	2.1.008	Computer 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 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: Hardware needed for access to electronic records must be retained for the period of time required to access the records.	13 TAC 6.94
53	2.2.014	Internet Browser Files	A record of web pages visited during an internet session, including data files of user-specific information created by the webserver, that allows users to access previously visited pages more quickly or to generate a record of usage of a state-owned computer.	AV						The disposal of Internet cookies need not be documented through destruction authorizations (AIN 37) or in records disposition logs (AIN 42), but agencies should establish procedures governing disposal of these records as part of its records management plan (AIN 45).	



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55	2.2.016	Software Registrations, Warranties and License Agreements	Records documenting the registration and licensing of a software application to activate the software for legal use by the end users of a state agency, along with warranties providing that the software will perform in accordance with functional specifications.	LA	3						
56	3.1	Board Member Files	Individual files on board members - dates served, historical information, resolutions, resumes.	PM							
57	3.1.001	Application for Employment - Not Hired	Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.	AC	2			AC= Date of the making of the record or the personnel action involved, whichever occurs later.			29 CFR 1602.31



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61	3.1.014	Employee Selection Records	Includes notes of interviews with candidates, questions asked of applicants, audio and videotapes of job interviews, driving record and previous injury checks, pre-employment physical examination, preemployment drug screening test results, polygraph examination results; and all other records that document the selection process.	AC	2			AC= Date of the making of the record or the personnel action involved, whichever occurs later.		CAUTION: Does not include criminal history checks. See AIN 68.	29 CFR 1602.31
62	3.1.018	Grievance Records	Records relating to the review of employee grievances against personnel policies, working conditions, etc.	AC	2			AC = Final decision on the grievance.		CAUTION: Does not include formal complaints filed by an employee with the Equal Employment Office (EEO) of the U.S. Dept. of Labor.	
63	3.1.019	Performance Appraisals	Job evaluations, performance appraisals, or other similar documents used to evaluate the performance of an employee.		2						29 CFR 1602.32(c)



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64	3.1.020	Personnel Corrective Action Documentation	Corrective actions are those actions which do not affect pay, status, or tenure and are imposed to correct or improve an employee's job performance.	AC	5			AC = Termination of employment.		CAUTION: If, during the retention period of this records series, any part of this series is used to document and support personnel disciplinary action under AIN 65, all documentation from this series used to support disciplinary action must be retained for the minimum retention period described by AIN 65.	



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65	3.1.021	Personnel Disciplinary Action Documentation	Disciplinary actions are those actions which may affect pay, status, or tenure. They are imposed to discipline an employee whose conduct is harmful to the best interests of the state, the agency or the employee work force and for failure to improve performance or conduct following imposition of corrective action. May include cause for demotion, suspension, or dismissal and the reasons for failure to give written notice of resignation. May also be used to document evidence of employee self-improvement efforts, as well as favorable and unfavorable communication.	AC	5			AC = Termination of employment.			



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66	3.1.022	Personnel Information or Action Forms	Forms or similar records used to create or change information concerning the records or an employee, including pay grade, position classification, employee number, evaluation date and termination of employment.		2						29 CFR 1602.31
67	3.1.023	Position/Job Descriptions	Job descriptions, including all associated task or skill statements, for positions in an agency.	AC	4			AC = Until superseded or job eliminated.			40 TAC 815.106(i)
68	3.1.026	Criminal History Checks	Criminal history record information on job applicants or agency employees obtained from the Department of Public Safety (DPS).	AC				AC = The criminal history record has served the immediate purpose for which it was obtained.		CAUTION: An agency that is authorized to obtain a criminal history record information from DPS must refer to its agency's legislation or see Subchapter F, Chapter 411, Government Code for appropriate retention and use of this information.	



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69	3.1.027	Training and Educational Achievement Records (Individual)	Certificates of completion, transcripts, test scores, or similar records documenting the training, testing, or continuing education achievements of an employee.	AC	5			AC = Termination of employment.			
70	3.1.029	Employment Eligibility Documentation	Documentation or Verification of Federal reporting form (INS I-9)	AC				AC= 3 years after date of hire or 1 year after termination of employment, whichever is later.		CAUTION: Federal regulation requires that INS I-9 forms be retained for 3 years from date of hire or 1 year after separation of the employee, whichever is 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)
72	3.1.037	Employee Recognition Records	Awards, incentives, tenure, etc.	AC	5			AC = Termination of employment.			



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73	3.1.038	Public Access Option Records	Form completed and signed by employee, official, former employee or former 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 AIN 84	
74	3.2.001	Employee Deduction Authorizations	Documentation used to start, modify, or stop all voluntary or required deductions from payroll, including garnishment or other court-ordered attachments.	AC	4			AC = After termination of employee or after amendment, expiration, or termination of authorization, whichever is sooner.			
75	3.2.002	Employee Earnings Records	Payroll records and registers documenting employee earnings, wages, and pay. This may include but is not limited to payroll input records, summary statements, payroll vouchers, payroll details, and payroll history.		4						40 TAC 815.106(i)



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76	3.2.003	Federal Tax Records	Includes W2, FICA, and other records.	AC	4			AC = Tax due date, date the claim is filed, or date tax is paid whichever is later.			26 CFR 31.6001 - 1(e)(2)
77	3.2.005	W-4 Forms	Employer's copy of "Employee Withholding Exemption Certificate".	AC	4			AC = Until superseded, obsolete or upon separation of employee.			26 CFR 31.6001 - 1(e)(2)
78	3.2.007	Unemployment Compensation Records	Records and documentation relating to unemployment compensation claims, including reimbursement of funds disbursed by Texas Workforce Commission (TWC).	AC	5			AC= Resolution of the claim.			
79	3.2.008	Direct Deposit Applications/Authorizations	Forms used to deposit employee's earnings into a specified personal account.	AC				AC= Until superseded, cancelled, or last payment deposited after termination of employment, whichever applicable.			



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80	3.2.009	State Deferred Compensation Records	Records documenting the amount of pension or deferred compensation earned by individual employees.	AC	4			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 recent edition of the Benefits Coordinator Reference Manual issued by the Employees Retirement System of Texas.	
82	3.3.001a	Affirmative Action Plans- Employees	Affirmative action plans for regular employees and apprenticeship programs.	AC	5			AC= Date of the making of the record or the personnel action involved, whichever occurs later.			29 CFR 30.12(d)
83	3.3.004	Benefit Plans	Employee benefit plans such as pension; life, health, and disability insurance; deferred compensation; etc., including amendments	AC	1			AC= Until supereded or plan terminated.			29 CFR 1627.3 (b)(2)
84	3.3.011	Former Employee Verification Records	Minimum information needed to verify employment, includes name, social security number, and exact dates of employment, last known address and most recent public access option form.	AC	75			AC = termination of employment			



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85	3.3.015	Positions/Job Classification Review File	Records relating to review and monitoring of job classifications within an agency.	US	3						
86	3.3.020	Work Schedules/Assignments	Work, duty, shift, crew, or case schedules, rosters, or assignments.	AV							
87	3.3.022	Texas Workforce Commission (TWC) Reports	Report to the agency from TWC or its predecessor pertaining to employees.		3						
88	3.3.023	Reimbursable Activities, Requests and Authorizations to Engage in	Requests and authorizations for travel; participation in educational programs, workshops, or college classes; or for other work-related activities for which the expenses of the employee are defrayed or reimbursed.	FE	3						
89	3.3.024	Personnel Policies and Procedures	Any internally distributed manuals, guidelines, or similar records that define agency wide policies and procedures concerning the personnel of an agency.	US	3						



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90	3.3.025	Job Procedure Records	Any documents detailing the procedural duties and responsibilities of agency positions on a position-by-position basis.	US	3						
91	3.3.026	Agency Staffing Reports	Any reports compiled by an agency on aspects of personnel staffing, including listings of all staff by program or name, staff hired during a month, detailed listings of employees within its organizational structure, position vacancies, analyses of turnover rates and seasonality of employment, etc.	US	3						
92	3.3.030	Training Administration Records	Instructional materials and other records associated with in-house training of agency personnel on personnel policies and procedures that govern an agency's programs, services, or projects.	AC	2			AC = Close of training session, after training materials superseded, or termination of training program, as applicable.		CAUTION: Does not include hazardous material training records. SEE item number 124.	
93	3.3.031	EEO Reports & Supporting Documents	Includes documentation used to complete EEO reports.		3						29 CFR 1602.32, 1602.39, 1602.41, 1602.48 and 1602.50



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94	3.4.001	Accumulated Leave Adjustment Requests	Used to create employee leave balances, to transfer leave balances when an employee transfers positions, to adjust carry-over balances on August 31, to correct errors on leave accumulation, and to close out leave accounts on separated employees.	FE	3						
95	3.4.002	Leave Status Reports	Cumulative report is issued each pay cycle and provides employee leave status information for each position.	FE	3						
95a	3.4.006	Time and Attendance Records	Records documenting individual employee's hours worked, including work schedules and documentation evidencing adherence to or deviation from normal hours for those employees working on fixed schedules.		4						40 TAC 815.106(i).



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96	3.4.007	Time off and/or Sick Leave Requests	Requests and authorizations for vacation, compensatory, sick, Family and Medical Leave Act (FMLA), sick pool leave, and other types of authorized leave, and supporting documentation.	FE	3						Government Code, Section 661.152(d); 29 CFR 825.500(b).
96a	3.4.008	Sick Leave Pool Documentation	Records documenting number of hours transferred in and out of comprehensive sick leave pool.	FE	3						
98	4.8.001	Banking Records	Bank statements, credit card statements, cancelled checks, check registers, deposit slips, debit and credit notices, reconciliations, and other banking related records.	FE	3						



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99a	4.1.009	Accounts Receivable Information	Bill copies or stubs, statements, billing registers, account cards, deposit warrants, cash receipts, credit card receipts, receipt books, cash transfers, daily cash reports, reconciliations, general journal vouchers, special vouchers, and similar records that serve to document money owed to or received by a state agency and its collection or receipt.	FE	3						
100a	4.1.001	Accounts Payable Information	Claims; invoices; statements; copies of checks and purchase orders; expenditure authorizations; ledgers; encumbrance, purchase, general journal, expenditure, and special vouchers; and similar records that serve to document disbursements, including those documenting claims for and reimbursement to employees for travel and other expenses.	FE	3						



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105	4.5.002	Internal Fiscal Management Reports	Internal and external periodic fiscal management reports and associated worksheets, including federal financial reports, salary reports, HUB reports, investment performance reports, etc.	FE	5						
106	4.5.003	Annual Financial Reports	Annual Financial Reports (AFR) required by the General Appropriations Act (100 Day Report).	AC	6			AC= September 1 of odd-numbered calendar years.		ARCHIVES NOTES: THE FINAL VERSION of Annual Financial Reports must be submitted to the Texas State Publications Depository Program	
107	4.9.001	Annual Operating Budgets	Required by the General Appropriations Act. Includes encumbrances and documentation about budget transfers and revisions, as well as detail charts of accounts.	FE	3						
110	4.7.001	Accounting Policies and Procedures Manual	Records documenting the internal and external procedural requirements with respect to the accounting department of state agency.	US	3						



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111	4.7.004	Capital Asset Records	Documentation relating to the capital and fixed assets of a state agency, including equipment or property history cards containing data on intial cost, depreciation schedules or summaries used for capital outlay budgeting, and property sale, auction, or disposal records of agency owned equipment and property.	LA	3						



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114a	5.1.001a	Contract Administration Files- 2015 and After	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, performance bonds, contracts, purchase orders, inspection reports, and contracts. May also include other applicable documentation in the master contract file per Texas Comptroller of Public Accounts Management Guide. Executed, renewed, or amended on or after September 1, 2015.	AC	7			AC = Expiration or termination of the instrument according to its terms. See related RSIN 5.3.007a/b/c for bid documentation. See RSIN 5.2.028 for building construction contracts. See RSIN 5.1.017 for contract logs.			Government Code, 441.1855.



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114b	5.1.001b	Contract Administration Files- 9/1/2015 and Prior	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, performance bonds, contracts, purchase orders, inspection reports, and contracts. May also include other applicable documentation in the master contract file per Texas Comptroller of Public Accounts Management Guide. Executed, renewed, or amended on or after September 1, 2015.	AC	4			AC = Expiration or termination of the instrument according to its terms. See related RSIN 5.3.007a/b/c for bid documentation. See RSIN 5.2.028 for building construction contracts. See RSIN 5.1.017 for contract logs. Note: Refer to SB20 (84th Leg.)for retention period context.			Government Code, 441.1855.
115	5.1.004	Mail & Telecommunications Listings	Any mailing address, telephone or fax number, or email address records maintained by an agency on its employees or on entities or persons it serves.	US							
116	5.1.005	Postage Expense Records	Records and reports of postage expenses, including postal meter usage.	FE	3						



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117	5.1.012	Charge Schedules/Price Lists	Schedules of prices charged by an agency for services to the public or other agencies, including any documentation used to determine the charges.	US	3						
118	5.2.008	Inspection, Repair, and Maintenance Records-Equipment	Equipment history file, which may include logbooks and requests for installation, moves, service, repairs, etc.	LA	3					For service agreemnts or contracts related to equipment repairs and service, retain in accordance with RSIN 5.1.001a/b. For vehicle maintenance records, see RSIN 5.6.003.	
119	5.2.010	Equipment Manuals		LA							
120	5.2.011	Equipment Warranties		AC	1			AC = Expiration of Warranty.			
121	5.2.006	Inventory and Property Control Records	Records documenting the inventorying, maintenance, usage, checkout, and disposal of supplies, equipment, and property of state agency. Includes lost, stolen, and damage reports.	FE	3					See RSIN 5.2.008 for the maintenance logs of individual pieces of equipment.	



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122	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. Requests or work orders for repairs or maintenance to facilities, vehicles, or equipment completed by internal agency personnel or external service providers.		1						
123	5.4.002	Evacuation Plans	Plans for evacuation of agency facilities in cases of emergency.	US							
124	5.4.007	Hazardous Materials Training Records	Records of training given employees in an agency hazard communications program.		5					See RSIN 3.1.027 for individual employee training records.	Texas Health and Safety Code, 502.009(g).
125	5.4.011	Visitor Control Registers	Logs, registers, or similar records documenting visitors to limited access or restricted areas of agency facilities.		3						



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126	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.	AC	2			AC = Until superseded, date of expiration, or date of termination, whichever is sooner.			
127	5.4.013	Continuity of Operations Plans (COOP)	Plans developed (per Texas Labor Code, 412.054) to mitigate the damage of potential events that could endanger an agency's ability to function. Includes disaster preparedness, response, and recovery plans.	US						See RSIN 5.4.017 for records related to responding or recovering from an emergency.	
128	5.5.002	Telephone Activity Records	Telephone logs created for internal documentation purposes; station activity reports of internal listing of incoming/outgoing telephone activity to individual telephone stations; operator call transfers; summary detail reports; and system activity reports of internal listings of all incoming/outgoing agency telephone activity.	AV						See RSIN 4.1.001 for telephone bills.	



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130	5.6.009	Parking Permits or Assignments	Records documenting issuance of parking permits and assignments.	US						See RSIN 4.1.009 for payment of permit fees.	
PPF1		Pension Plan Files – Essential Information	Registration forms, actuarial audits, membership information, investment policies, complaints, board of trustees information, board meeting agendas and minutes, and studies and comparison studies.		30						
PPF2		Pension Plan Files – Non-essential Information	Board meeting packets, seminar packets, presentations, nonregistered plan complaints and news articles.		2					The series includes any additional information received by the agency regarding a pension plan that is not used for compliance.	