



September 26, 2011

Ms. Susan Durso
General Counsel
Texas Public Finance Authority
300 W. 15th St., #411
Austin, TX 78701

RE: Texas Public Finance Authority
Retention schedule approved for use.

State and Local
Records Management

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

4400 Shoal Creek Blvd.
Austin, Texas
78756

www.tsl.state.tx.us

Commission Chairman
Sandra J. Pickett

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

Director and Librarian
Peggy D. Rudd

Assistant State Librarian
Edward Seidenberg

*Making
information
work
for all
Texans*

Dear Ms. Durso:

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 Please ensure all old copies of the schedule are superseded with this recertified copy.

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

During a certification period, state regulations (13 TAC §6.4) also require the submission of amendments to the retention schedule as needed to keep the information in the schedule current. If you are not familiar with the amendment process, contact the government information analyst assigned to your agency.

Your efforts in maintaining an up-to-date records retention schedule are appreciated. It not only helps to ensure the integrity of your recordkeeping practices, but it is also essential to the success of your records management program. Your schedule will be due for recertification on the last working day of September 2014. If you have any questions, call the information analyst assigned to your agency, Michael Reagor, at 512-421-7210.

Sincerely,

Sarah Jacobson
Manager, Records Management Assistance

Enclosure

cc: State Auditor, State Archivist
cc: (without enclosure) Dwight D Burns



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 0347
 Texas Public Finance
 Agency Name Authority

(Check one)

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

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

(Check one)

- Agency Head
- Records Management Officer

Signature 

Name *(Print or type)* Susan K. Durso

Date April 20, 2011

Section 2. Approvals

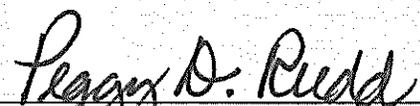
(Submitting agencies do not write in this section)

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

Signature _____
 Name *(Print or type)* _____
 Date _____

Not Required at This Time

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

Signature 
 Name *(Print or type)* Peggy D. Rudd
 Date 9/7/11

Recertification No. 8 Amendment No. _____

CAUTION

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

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





STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 1 of 47

2. Agency Code 347		3. Agency Name Texas Public Finance Authority								
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.	
			Agency	Storage	Total					

	1	Bound Bond Transcripts	PM		PM	A	Copy to Archives		
	2	Bond Pricing Books	5		5				
1.1.002	3	Audits Audits and reviews performed by or on behalf of an agency, including the working papers that support the audit. Also includes audits performed on the agency.	AC + 7		AC + 7		AC = Publication or release of final audit findings. The State Auditor's Office retains any copies of its audits performed on Texas state agencies.		
1.1.004	4	Legislative Appropriation Requests Including any supporting documentation created and/or used to justify and support legislative appropriations requests by an agency.	AC + 6		AC + 6	A	AC = September 1 of odd-numbered calendar years. ARCHIVES NOTE: The archival requirement is met by sending the required copies of the requests to the Texas State Publications Depository Program, Texas State Library and Archives Commission. Only copies of supporting documentation submitted to the Legislative Budget Board are archival.		

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



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Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 2 of 47

2. Agency Code 347		3. Agency Name Texas Public Finance Authority								
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.	
			Agency	Storage	Total	9. Remarks				

1.1.006	5	Complaint Records Complaints received by an agency from the public concerning the agency and records pertaining to the resolution of the complaint.	AC + 2		AC + 2	AC = Final disposition of the complaint. CAUTION: If a complaint becomes the subject of litigation, it must be included in and is subject to the minimum retention period of item number 1.1.048.		
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Records Retention Schedule

SLR 105

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1. Page 3 of 47

2. Agency Code 347		3. Agency Name Texas Public Finance Authority						
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			Agency	Storage	Total	9. Remarks		

1.1.007	6	<p>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.</p>	3		3	R	<p>ARCHIVES NOTE: Only the administrative correspondence of executive staff, board or commission members, division directors and program heads require archival review. Contact the State Archives when these records have met their retention periods.</p> <p>CAUTION: This records series and item number 1.1.008 should be used only for correspondence that is not included in or directly related to another records series on the agency's approved schedule. For example, a memorandum that documents an appropriations request must be retained for the minimum retention period prescribed by item number 1.1.004; a letter concerning an audit for that prescribed by item number 1.1.002, etc. SEE ALSO item number 1.1.011.</p>	
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Records Retention Schedule

SLR 105

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2. Agency Code 347		3. Agency Name Texas Public Finance Authority							
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			Agency	Storage	Total	9. Remarks			

1.1.008	7	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.	1		1		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.		
1.1.010	8	Directives Any document that officially initiates, rescinds, or amends general office procedures.	US + 1		US + 1				
1.1.011	9	Executive Orders Any document that initiates, rescinds, or amends a regulation, policy, or procedure that governs the programs, services, or projects of an agency.	US + 3		US + 3	A			

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

SLR 105

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1. Page 5 of 47

2. Agency Code 347		3. Agency Name Texas Public Finance Authority								
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.	
			Agency	Storage	Total	9. Remarks				

1.1.013	10	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.	CE + 1	CE + 1	R	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the State Archives when these records have met their retention periods. CAUTION: A record of this type purchased with personal funds, but used by a state official or employee to document his or her work activities may be a state record and subject to this retention period. See Open Records Decision 635 issued in December 1995 by the Attorney General.		
1.1.014	11	Legal Opinions and Advice From agency legal counsel or the Attorney General, including any requests eliciting the opinions.	AV	AV	R	CAUTION: Does not include legal opinions or advice rendered on a matter in litigation or with regard to pending litigation. SEE item number 1.1.048.		

Retention Codes (Field 7)

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 AV – Administrative Value

CE – Calendar Year End
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LA – Life of Asset
 MO – Months

PM – Permanent
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Archival Codes (Field 8)

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



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Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

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2. Agency Code 347		3. Agency Name Texas Public Finance Authority								
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.	
			Agency	Storage	Total	9. Remarks				

1.1.019	12	Public Relations Records News, press releases, or any public relations files maintained or issued by an agency. Includes print, electronic, audio, and audiovisual records.	2		2	R		
1.1.020	13	Public Information Requests - Not Exempted Includes all correspondence and documentation relating to requests for records that are furnished to the public under Public Information Act (Chapter 552, Government Code).	AC + 1		AC + 1		AC = Date request fulfilled.	
1.1.021	14	Public Information Requests - Exempted Includes all correspondence and documentation relating to requests for records that are exempt under the Public Information Act (Chapter 552, Government Code).	AC + 2		AC + 2		AC = Date of notification that records are exempt.	
1.1.023	15	Organization Charts	US		US	A		
1.1.024	16	Plans and Planning Records Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC + 3		AC + 3	R	AC = Decision made to implement or not to implement result of planning process. ARCHIVES NOTE: Data processing planning records are not archival.	

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

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2. Agency Code 347		3. Agency Name Texas Public Finance Authority								
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.	
			Agency	Storage	Total	9. Remarks				

1.1.026	17	Texas Register Submissions Copies of all proposed, withdrawn, emergency, and adopted rules; open meetings notices; or any other documents required by law to be submitted to the Texas Register.	AC + 1		AC + 1		AC = Date of publication in the Texas Register.		
1.1.027	18	Proposed Legislation Drafts of proposed legislation and related correspondence.	AV		AV				
1.1.038	19	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC		AC		SEE item number 1.1.067 for summary reports compiled from customer surveys. AC = Final disposition of summary report.		
1.1.040	20	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC		AC	R	AC = End of term in office or termination of service in a state position.		
1.1.043	21	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US + 1		US + 1				

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Records Retention Schedule

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2. Agency Code 347		3. Agency Name Texas Public Finance Authority								
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.	
			Agency	Storage	Total	9. Remarks				

1.1.048	22	Litigation Files Records created by or on behalf of an agency in anticipation of or in the adjudication of a lawsuit.	AC + 1	AC + 1	R	AC = As applicable, decision of an agency not to file a lawsuit or decision that a lawsuit will not be filed against it on a matter; dismissal of a lawsuit for want of prosecution or on motion of the plaintiff; or final decision of a court (or of a court on appeal, if applicable) in a lawsuit. 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.		
1.1.053	23	Registration Logs Logs or similar records used to register persons appearing before state agencies as required by Chapter 2004, Government Code, including quarterly reports filed with the Texas Ethics Commission.	AC	AC		AC = Report filed with the Texas Ethics Commission.		

Retention Codes (Field 7)						Archival Codes (Field 8)	
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2. Agency Code 347		3. Agency Name Texas Public Finance Authority						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			

1.1.055	24	Strategic Plans Information resources and operational strategic plans prepared in accordance with 2054.095 and 2056.002, Government Code.	AC + 6		AC + 6	A	AC = September 1 of odd-numbered calendar years. ARCHIVES NOTE: 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.		
1.1.056	25	ADA (Americans with Disabilities Act) Documentation Self evaluations and plans documenting compliance with the requirements of the Americans With Disabilities Act.	3		3		28 CFR 35.105(c).		

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

SLR 105

Form SLR 105C must accompany this form.

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2. Agency Code 347		3. Agency Name Texas Public Finance Authority						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

1.1.057	26	<p>Transitory Information</p> <p>Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series.</p>	AC	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions.</p> <p>The disposal of transitory information need not be documented through destruction signoffs (1.2.001) or in records disposition logs (1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (1.2.014).</p>		
		<p>Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are telephone message notifications; routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.</p>					

Retention Codes (Field 7)

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 AV – Administrative Value

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Archival Codes (Field 8)

A – Transfer to State Archives
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Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

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2. Agency Code 347		3. Agency Name Texas Public Finance Authority								
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			Agency	Storage	Total	9. Remarks				

1.1.058	27	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		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 records series and item numbers 1.1.059, 1.1.060, 1.1.061, and 1.1.062 must be used for those state boards, committees, commissions, and councils, which by law or the biennial Appropriations Act, are administered by another state agency. These records and all others related to the functions of any of these dependent entities must be included in the records retention schedule of the administering agency.		
1.1.059	28	Meetings, Certified Agendas or Tape Recordings of Closed Certified agendas or tape recordings of closed meetings of state boards, commissions, committees, and councils.	AC + 2		AC + 2		AC = The date of the meeting or completion of pending action involving the meeting, whichever is later. Government Code, 551.104(a). SEE caution comment at item number 1.1.058.		

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

SLR 105

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2. Agency Code 347		3. Agency Name Texas Public Finance Authority						
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1.1.060	29	Meetings, Audio or Videotapes of Open Audio or videotapes of open meetings of state boards, commissions, committees, and councils.	AC + 90 days		AC + 90 days	AC = Official approval of written minutes of the meeting by the governing body of an agency. CAUTION: Minutes of state agencies are permanent records. Audio and videotapes are not permanent media. State agencies may not retain audio or videotapes of the meetings of governing bodies in lieu of written minutes. The proceedings of all meetings of state boards, committees, commissions, and councils must be reduced to writing. SEE caution comment at item number 1.1.058.		
1.1.061	30	Meeting - Notes Notes taken during open meetings of state boards, commissions, committees, and councils from which written minutes are prepared.	AC + 90 days		AC + 90 days	AC = Approval of the formal minutes by the governing body. SEE caution comment at item number 1.1.058.		

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Records Retention Schedule

SLR 105
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2. Agency Code 347		3. Agency Name Texas Public Finance Authority								
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			Agency	Storage	Total	9. Remarks				

1.1.062	31	Meetings - Supporting Documentation Documents submitted at meetings of state boards, commissions, committees, and councils including exhibit items, documentation for agenda items, etc. Includes documents sent in advance of meetings for briefing purposes, some of which may not be submitted at an actual meeting.	2	2	A	SEE caution comment at item number 1.1.058.		
1.1.063	32	Staff Meeting Minutes and Notes Minutes or notes, and supporting documentation, taken at internal agency staff meetings.	1	1				
1.1.064	33	Agency Performance Measures Documentation Any records of an agency needed for the documentation of output, outcome, efficiency, and explanatory measures in an agency's appropriations request or strategic plan, and for performance measures used to manage the agency.	FE + 3	FE + 3		CAUTION: The FE + 3 retention period overrides any shorter retention period for a records series in this schedule if the records series is needed for documentation of agency performance measures.		

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SLR 105

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2. Agency Code 347		3. Agency Name Texas Public Finance Authority								
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			Agency	Storage	Total	9. Remarks				

1.1.067	34	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		3	R	ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, A, R, or E. SEE page ix for more information.		
1.1.068	35	Reports on Performance Measures Quarterly and annual reports on agency performance measures submitted to executive and legislative offices.	AC + 6		AC + 6		AC = September 1 of odd-numbered calendar years.		
1.1.069	36	Reports - Activity Reports compiled by agency personnel on a daily or other periodic basis pertaining to workload monitoring, task completion times, number of public contacts, and similar activities.	1		1		CAUTION: SEE item number 1.1.064.		

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Records Retention Schedule

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2. Agency Code 347		3. Agency Name Texas Public Finance Authority								
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1.1.070	37	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC + 3		AC + 3	R	AC = Completion or termination of program, rules, policies, or procedures. SEE ALSO Agency Rules, Policies and Procedures - Working Files, 1.1.071.		
1.1.071	38	Agency Rules, Policies, and Procedures - Working Files Working files used in the development of manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC + 3		AC + 3	R	AC = Completion or termination of program, rules, policies, or procedures. SEE ALSO Records Series Item Number 1.1.070.		
1.1.074	39	Sunset Review Report and Documentation	AC + 3		AC + 3		AC = After the subsequent Sunset Review.		

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Archival Codes (Field 8)

A – Transfer to State Archives
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Records Retention Schedule

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2. Agency Code 347		3. Agency Name Texas Public Finance Authority								
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			Agency	Storage	Total	9. Remarks				

1.2.001	40	Destruction Authorizations Agency level documents authorizing final disposition of records under a certified records retention schedule.	FE + 3		FE + 3			
1.2.005	41	Records Retention Schedule (SLR 105) Agency copy. Formerly RMD 105. Includes documentation of certification and approval - forms SLR 105C (formerly RMD 105C), and/or other forms designated by the State Records Administrator.	US		US		Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission.	
1.2.006	42	Records Transmittal Forms Agency copy (includes RMD 101, Tx-R-5, 306-58-1, and Agency Storage Forms). Forms indicate records transferred to storage or a transfer of legal custody.	AC + 2		AC + 2		AC = Date of authorization for destruction, permanent transfer from storage, or transfer to the Archives and Information Services Division, Texas State Library and Archives Commission, by the agency records management officer.	
1.2.008	43	Request for Authority to Dispose of State Records (RMD 102) Agency copy.	FE + 3		FE + 3		Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission.	

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

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 17 of 47

2. Agency Code 347		3. Agency Name Texas Public Finance Authority							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks			

1.2.010	44	Records Disposition Logs Logs or similar records listing records destroyed or transferred to the Archives and Information Services Division, Texas State Library and Archives Commission, showing records series title, dates of records, and date destroyed or transferred.	10		10			
1.2.011	45	Record Center Storage Approval Forms (RMD 106) Agency copy.	US		US			
1.2.012	46	Records Inventory Worksheets	US		US			
1.2.013	47	Records Control Locator Aids Includes indexes, card files, shelf lists, registers, guides, etc.	AC		AC		AC = When control aid is updated, revised, or no longer needed. CAUTION: These records must carry the same retention period and archival code of the records they support.	
1.2.014	48	Records Management Plans Records management plans and similar records that establish the policies and procedures under which records and information are managed in an agency.	US + 1		US + 1			

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



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Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

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2. Agency Code 347		3. Agency Name Texas Public Finance Authority								
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.	
			Agency	Storage	Total					
1.2.015	49	Disaster Recovery Service Transmittals (RMD 109) Also includes documentation for disaster recovery services provided by other entities.	FE + 1		FE + 1					
1.2.016	50	Disaster Recovery Service Approval Form (RMD 113) Agency copy of form.	AC		AC	AC = Until superseded or termination of service.				

Retention Codes (Field 7)

AC – After Closed, Terminated, Completed, Expired, Settled
AV – Administrative Value

CE – Calendar Year End
FE – Fiscal Year End

LA – Life of Asset
MO – Months

PM – Permanent
US – Until Superseded

Archival Codes (Field 8)

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



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 19 of 47

2. Agency Code 347		3. Agency Name Texas Public Finance Authority								
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.	
			Agency	Storage	Total	9. Remarks				

1.3.001	51	<p>State Publications One copy of each state publication as defined on page xi of the introduction of the <i>Texas State Records Retention Schedule, 3rd edition</i>, dated 6/1/2005, except a publication that is subject to a different retention period in this schedule. For example, a meeting agenda (see item number 1.1.058) also meets the definition, but it must be retained permanently; item numbers 1.1.004, 1.1.055, 1.1.066, 1.1.068, and 4.5.003, which also meet the definition, are closely associated with the appropriations process and must be retained AC + 6.</p>	AC + 2		AC + 2	<p>AC = Until superseded or obsolete.</p> <p>CAUTION: Many state publications must be submitted to the Texas State Publications Depository Program, Texas State Library and Archives Commission, by law (Government Code 441.101-441.106). The Texas State Library and Archives Commission will retain a copy of all state publications submitted to it on a continuing basis, subject to periodic evaluation to determine if the publication merits further retention.</p> <p>For additional information and requirements concerning state publications made available to the public through the Internet, consult the administrative rules of the Texas State Publications Depository Program of the Texas State Library and Archives Commission (13 TAC §§3.1-3.16).</p>		
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Retention Codes (Field 7)				Archival Codes (Field 8)	
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	A – Transfer to State Archives	R – Review by State Archivist
AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded		



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Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

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2. Agency Code 347		3. Agency Name Texas Public Finance Authority								
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.	
			Agency	Storage	Total	9. Remarks				

2.1.001	52	Processing Files Machine-readable files used in the creation, utilization, and updating of master files.	AC		AC	AC = Completion of 3rd verification cycle, or audit completion confirming successful transaction processing, or required audit trail maintenance, or the ability to restore or migrate when errors are detected or when hardware or software changes occur. CAUTION: Records management officers must be certain before assigning the retention period of AC to agency automated processing files that the files do not fall under records series listed elsewhere.		
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Retention Codes (Field 7)						Archival Codes (Field 8)	
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	A – Transfer to State Archives			
AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded	R – Review by State Archivist			



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Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

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2. Agency Code 347		3. Agency Name Texas Public Finance Authority							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks			

2.1.002	53	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	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.		
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Retention Codes (Field 7)

AC – After Closed, Terminated, Completed, Expired, Settled
 AV – Administrative Value

CE – Calendar Year End
 FE – Fiscal Year End

LA – Life of Asset
 MO – Months

PM – Permanent
 US – Until Superseded

Archival Codes (Field 8)

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



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Records Retention Schedule

SLR 105
 Form SLR 105C must accompany this form.

1. Page **22** of **47**

2. Agency Code 347		3. Agency Name Texas Public Finance Authority							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks			

2.1.007	54	Software Programs Automated software applications and operating system files including job control language, program listing/source code, etc.	AC		AC	AC = Until electronic records are transferred to and made usable in a new software environment or there are no electronic records being retained to meet an approved retention period that require the software to be retrieved and read. 13 TAC 6.94. CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.		
2.1.008	55	Hardware Documentation Records documenting operational and maintenance requirements of computer hardware such as operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems.	AC		AC	AC = Until electronic records are transferred to and made usable in a new hardware environment or there are no electronic records being retained to meet an approved retention period that require the hardware to be retrieved and read. 13 TAC 6.94. CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.		

Retention Codes (Field 7)

AC – After Closed, Terminated, Completed, Expired, Settled
 AV – Administrative Value

CE – Calendar Year End
 FE – Fiscal Year End

LA – Life of Asset
 MO – Months

PM – Permanent
 US – Until Superseded

Archival Codes (Field 8)

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



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SLR 105

Form SLR 105C must accompany this form.

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2. Agency Code 347		3. Agency Name Texas Public Finance Authority						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

2.1.009	56	Technical Documentation Records adequate to specify all technical characteristics necessary for reading or processing of electronic records and their timely, authorized disposition including documentation describing how a system operates and necessary for using the system such as user guides, system or sub-system definitions, system specifications, input and output specifications, and system flow charts; program descriptions and documentation such as program flowcharts, program maintenance logs, change notices, and other records that document modifications to computer programs; and data documentation necessary to access, retrieve, manipulate, and interpret data in an automated system such as a data element dictionary, file layout, code book or table, and other records that explain the meaning, purpose, structure, logical relationships, and origin of the data elements.	AC		AC		AC = Until electronic records are transferred to and made usable in a new hardware or software environment with new documentation or there are no electronic records being retained to meet an approved retention period that require the documentation to be retrieved and read. 13 TAC 6.94. CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.	
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Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	A – Transfer to State Archives			
AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded	R – Review by State Archivist			



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Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

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2. Agency Code 347		3. Agency Name Texas Public Finance Authority								
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.	
			Agency	Storage	Total					

2.1.010	57	Audit Trail Records Files needed for electronic data audits such as files or reports showing transactions accepted, rejected, suspended, and/or processed; history files/tapes; records of on-line updates to application files or security logs.	AC		AC		AC = All audit requirements have been met.		
2.1.011	58	Finding Aids, Indexes, and Tracking Systems Automated indexes, lists, registers, and other finding aids used to provide access to records.	AC		AC		AC = The related records have been destroyed. CAUTION: These records must carry the same retention period and archival code of the records they support.		
2.2.001	59	System Monitoring Records Electronic files or automated logs created to monitor computer systems such as print spool logs, console logs, tape activity logs, etc.	AV		AV				
2.2.004	60	Computer Job Schedules and Reports Schedules or similar records showing computer jobs to be run and other reports by computer operators or programmers of work performed.	3 MO		3 MO				

Retention Codes (Field 7)

AC – After Closed, Terminated, Completed, Expired, Settled
AV – Administrative Value

CE – Calendar Year End
FE – Fiscal Year End

LA – Life of Asset
MO – Months

PM – Permanent
US – Until Superseded

Archival Codes (Field 8)

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



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2. Agency Code 347		3. Agency Name Texas Public Finance Authority							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks			

4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Agency	7. Storage	7. Total	8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
2.2.010	61	Data Processing Policies and Procedures Manuals, guidelines, or similar documents establishing data processing policies and procedures in an agency in such areas as access and security, systems development, data retention and disposition, data ownership, production control, system back-up, etc.	US + 3		US + 3		CAUTION: Does not include technical documentation of procedures necessary for reading or processing of electronic records. SEE item number 2.1.009.		
2.2.011	62	Batch Data Entry Control Records Forms and logs used to reconcile batches submitted for processing against batches received and processed.	AC		AC		AC = When reconciliation confirmed.		
2.2.016	63	Software Registrations, Warranties and License Agreements	LA + 3		LA + 3				
3.1.001	64	Applications for Employment - Not Hired Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.	2		2		29 CFR 1602.31 [State Agencies].		

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



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Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

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2. Agency Code 347		3. Agency Name Texas Public Finance Authority								
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.		
			Agency	Storage	Total	9. Remarks				

3.1.002	65	Applications for Employment - Hired Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.	AC + 5	AC + 5	AC = Termination of employment.		
3.1.006	66	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 supervisory level except in those agencies with counseling staff.	AC + 3	AC + 3	AC = Termination of counseling.		
3.1.011	67	Employee Insurance Records Agency copies of information relating to the selection by employees of life, disability, health, and other types of insurance offered by the State of Texas to its employees.	AC	AC	AC = Until superseded or termination of employment. CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item number 3.2.001.		

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



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Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

2. Agency Code 347		3. Agency Name Texas Public Finance Authority							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks			

3.1.012	68	Employment Opportunity Announcements Internal or external announcements or advertisements of job openings, promotions, training programs, or opportunities for overtime.	2	2	29 CFR 1602.31 [State Agencies]. 29 CFR 1602.49(a) [State Universities].		
3.1.014	69	Employment Selection Records Includes notes of interviews with candidates, questions asked of applicants, audio and videotapes of job interviews, driving record and previous injury checks, pre-employment physical examinations, pre-employment drug screening test results, polygraph examination results; and all other records that document the selection process.	2	2	29 CFR 1602.31 [State Agencies]. CAUTION: Does not include criminal history checks. SEE item number 3.1.026.		
3.1.018	70	Grievance Records Records relating to the review of employee grievances against personnel policies, working conditions, etc.	AC + 2	AC + 2	AC = Final decision on the grievance. CAUTION: Does not include formal complaints filed by an agency employee with the Equal Employment Office (EEO) of the U. S. Department of Labor. SEE item number 1.1.048.		
3.1.019	71	Performance Appraisals	2	2	29 CFR 1620.32(c).		

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



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SLR 105

Form SLR 105C must accompany this form.

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2. Agency Code 347		3. Agency Name Texas Public Finance Authority								
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.		
			Agency	Storage	Total					

3.1.020	72	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 + 5	AC = Termination of corrective action. CAUTION: If, during the retention period of this records series, any part of this series is used to document and support personnel disciplinary action under item number 3.1.021, all documentation from this series used to support disciplinary action must be retained for the the minimum retention period described by item number 3.1.021.		
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Retention Codes (Field 7)						Archival Codes (Field 8)	
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	A – Transfer to State Archives			
AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded	R – Review by State Archivist			



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Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page **29** of **47**

2. Agency Code 347		3. Agency Name <p style="text-align: center;">Texas Public Finance Authority</p>								
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.	
			Agency	Storage	Total	9. Remarks				

3.1.021	73	Personnel Disciplinary Action Documentation Disciplinary actions are those actions which may affect pay, status, or tenure. They are imposed to discipline an employee whose conduct is harmful to the best interests of the state, the agency, or the employee work force, and for failure to improve performance or conduct following imposition of corrective action. May include cause for demotion, suspension, or dismissal, and the reasons for failure to give written notice of resignation. May also be used to document evidence of employee self-improvement efforts, as well as favorable and unfavorable communication.	AC + 5		AC + 5		AC = Termination of employment.		
3.1.022	74	Personnel Information or Action Forms Forms or similar records used to create or change information concerning the records of an employee including pay grade, position classification, employee number, evaluation date, and termination of employment.	2		2		29 CFR 1602.31 [State Agencies].		

Retention Codes (Field 7)

AC – After Closed, Terminated, Completed, Expired, Settled
 AV – Administrative Value

CE – Calendar Year End
 FE – Fiscal Year End

LA – Life of Asset
 MO – Months

PM – Permanent
 US – Until Superseded

Archival Codes (Field 8)

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



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Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

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2. Agency Code		347		3. Agency Name						Texas Public Finance Authority					
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title			7. Retention Period			8. Archival			10. 106 No.	11. TSLAC ONLY Amend. No.			
					Agency	Storage	Total	9. Remarks							

3.1.023	75	Position/Job Descriptions Job descriptions, including all associated task or skill statements, for positions in an agency.	AC + 4		AC + 4		AC = Until superseded or job eliminated. 40 TAC 815.106(i).		
3.1.027	76	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 + 5		AC = Termination of employment.		
3.1.029	77	Employment Eligibility, Documentation or Verification of Federal reporting form (INS I-9).	AC + 1		AC + 1		AC = Termination of employment. CAUTION: Federal regulation requires that INS I-9 forms be retained for 3 years from date of hire or 1 year after separation of the employee, whichever later. Agencies should make certain that the INS I-9 forms for employees who terminate from an agency less than 3 years from date of hire are kept for the 3 year retention period. 8 CFR 274a.2(b)(2)(i)(A) and (c)(2).		

Retention Codes (Field 7)

AC – After Closed, Terminated, Completed, Expired, Settled
AV – Administrative Value

CE – Calendar Year End
FE – Fiscal Year End

LA – Life of Asset
MO – Months

PM – Permanent
US – Until Superseded

Archival Codes (Field 8)

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



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Form SLR 105C must accompany this form.

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2. Agency Code 347		3. Agency Name Texas Public Finance Authority						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

3.1.031	78	Employee Benefits - Other than Insurance Agency copies of information relating to the selection of available benefit options other than insurance.	AC + 2		AC + 2	AC = Until superseded or termination of employment CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item number 3.2.001.		
3.1.037	79	Employee Recognition Records Awards, incentives, tenure, etc.	AC + 5		AC + 5	AC = Termination of employment.		
3.1.038	80	Public Access Option Form Form completed and signed by employee or official, or former employee or official, electing to keep home address, home telephone number, social security number, and family information open or confidential under the Public Information Act, Government Code §552.024.	US		US	SEE item number 3.3.011.		
3.2.001	81	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 + 4	AC = After termination of employee or after amendment, expiration, or termination of authorization, whichever sooner.		
3.2.002	82	Employee Earnings Records	4		4	40 TAC 815.106(i). (Comments updated)		

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



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Records Retention Schedule

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2. Agency Code 347		3. Agency Name Texas Public Finance Authority								
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.	
			Agency	Storage	Total	9. Remarks				

3.2.003	83	Federal Tax Records Includes FICA, 1099, W2 and other tax records.	AC + 4		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).		
3.2.004	88	Income Adjustment Authorizations Used to make increases or decreases to employees' gross pay, FICA, retirement, or in the computation of taxes.	2		2	29 CFR 516.6(c).		
3.2.005	85	W-4 Forms Employer's copy of "Employees' Withholding Exemption Certificate."	AC + 4		AC + 4	AC = Until superseded, obsolete, or upon separation of employee. 26 CFR 31.6001-1 (e)(2).		
3.2.006	86	Wage Rate Tables	2		2	29 CFR 516.6(a)(2).		
3.2.007	87	Unemployment Compensation Records	AC + 5		AC + 5			
3.2.008	88	Direct Deposit Application/Authorizations	US		US			

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



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Records Retention Schedule

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2. Agency Code 347		3. Agency Name Texas Public Finance Authority								
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.	
			Agency	Storage	Total	9. Remarks				

3.2.009	89	State Deferred Compensation Records	AC + 5		AC + 5	AC = All accounts with a vendor or vendors for the individual participant have been closed. For instructions regarding the determination of the closure of accounts and for additional information regarding the retention period see the most current edition of the <i>Benefits Coordinator Reference Manual</i> issued by the Employees Retirement System of Texas.		
3.2.010	90	Human Resources Information System (HRIS) Reports Includes supporting documentation.	AC + 4		AC + 4			
3.3.001	91	Affirmative Action Plans Affirmative action plans for both regular employees and apprenticeship programs.	5		5	29 CFR 30.8(e) for apprenticeship plans.		
3.3.011	92	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.	AC + 75		AC + 75	AC = Termination of employment. See item number 3.1.038.		

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



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Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

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2. Agency Code 347		3. Agency Name Texas Public Finance Authority							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks			

3.3.015	93	Positions/Job Classification Review File Records relating to review and monitoring of job classifications within an agency.	US + 3		US + 3			
3.3.020	94	Work Schedules/Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1		1			
3.3.023	95	Reimbursable Activities, Requests and Authorizations to Engage in Requests and authorizations for travel; participation in educational programs, workshops, or college classes; or for other work-related activities for which the expenses of the employee are defrayed or reimbursed.	FE + 3		FE + 3			
3.3.024	96	Personnel Policies and Procedures Any internally distributed manuals, guidelines, or similar records that define agency wide policies and procedures concerning the personnel of an agency.	US + 3		US + 3			
3.3.025	97	Job Procedure Records Any documents detailing the procedural duties and responsibilities of agency positions on a position-by-position basis.	US + 3		US + 3			

Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	A – Transfer to State Archives			
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2. Agency Code 347		3. Agency Name Texas Public Finance Authority						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

3.3.026	98	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		US + 3			
3.3.030	99	Training Administration Records Instructional materials and other records associated with in-house training of agency personnel on personnel policies and procedures and other policies and procedures that govern an agency's programs, services, or projects.	US + 2		US + 2		CAUTION: Does not include hazardous material training records. SEE item number 5.4.007.	
3.3.031	100	EEO Reports and Supporting Documentation Includes documentation used to complete EEO reports.	3		3		29 CFR 1602.32, 1602.39, 1602.41, 1602.48, and 1602.50.	

Retention Codes (Field 7)				Archival Codes (Field 8)			
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			Agency	Storage	Total	9. Remarks			

3.4.001	101	Accumulated Leave Adjustment Requests Used to create employee leave balances, to transfer leave balances when an employee transfers positions, to adjust carry-over balances on August 31, to correct errors on leave accumulation, and to close out leave accounts on separated employees.	FE + 3		FE + 3				
3.4.002	102	Leave Status Reports Cumulative report is issued each pay cycle and provides employee leave status information for each position.	FE + 3		FE + 3				
3.4.003	103	Less Than Full-Time Worked Reports Dates and hours.	4		4		40 TAC 815.106(i).		
3.4.004	104	Overtime Authorizations	2		2				
3.4.005	105	Overtime Schedules	2		2				
3.4.006	106	Time Cards and Time Sheets	4		4		40 TAC 815.106(i).		
3.4.007	107	Time Off and/or Sick Leave Requests	FE + 3		FE + 3				
3.4.008	108	Sick Leave Pool Documentation Requests submitted, approvals, number of hours transferred in and out, etc.	FE + 3		FE + 3				
4.1.001	109	Accounts Payable Information	FE + 3		FE + 3				

Retention Codes (Field 7)

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Archival Codes (Field 8)

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2. Agency Code 347		3. Agency Name Texas Public Finance Authority								
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.	
			Agency	Storage	Total	9. Remarks				

4.1.002	110	Billing Detail	FE + 3		FE + 3	CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.		
4.1.003	111	Canceled Checks/Stubs/Warrants/Drafts	FE + 3		FE + 3			
4.1.004	112	Encumbrance Detail	FE + 3		FE + 3			
4.1.007	113	Transfers or Budget Revisions Transfers or adjustment to budgets.	FE + 3		FE + 3			
4.1.008	114	Electronic Fund Transfers Direct Deposit Registers.	FE + 3		FE + 3			
4.2.001	115	Cash Deposit Vouchers Cash deposit slips.	FE + 3		FE + 3			
4.2.002	116	Cash Receipts Includes receipts for fees (permits, licenses, renewals, etc.).	FE + 3		FE + 3			
4.2.003	117	Daily Cash Receipts Logs	FE + 3		FE + 3			
4.2.004	118	Encumbrance Vouchers Orders, statements, change orders, etc.	FE + 3		FE + 3			
4.2.005	119	Purchase Vouchers Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE + 3		FE + 3			
4.2.006	120	General Journal Vouchers	FE + 3		FE + 3			

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Archival Codes (Field 8)

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2. Agency Code 347		3. Agency Name Texas Public Finance Authority							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks			

4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Agency	7. Storage	7. Total	8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
4.2.007	121	Expenditure Vouchers Travel, payroll, etc.	FE + 3		FE + 3				
4.3.002	122	Receipts Journals or Registers	FE + 3		FE + 3				
4.3.003	123	Expenditures Journals or Registers	FE + 3		FE + 3				
4.4.001	124	General and Subsidiary Ledgers	FE + 3		FE + 3				
4.4.002	125	Accounts Receivable Ledgers	FE + 3		FE + 3				
4.4.003	126	Accounts Payable Ledgers	FE + 3		FE + 3				
4.5.001	127	Worksheets for Preparing Fiscal Reports	FE + 3		FE + 3				
4.5.002	128	Internal Fiscal Management Reports Includes agency monthly budget reports.	FE + 3		FE + 3				

Retention Codes (Field 7)						Archival Codes (Field 8)			
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2. Agency Code 347		3. Agency Name Texas Public Finance Authority							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks			

4.5.003	129	Annual Financial Reports Required by the General Appropriations Act (100 Day Report).	AC + 6		AC + 6	AC = September 1 of odd-numbered calendar years. CAUTION: If an agency does not produce a biennial or annual narrative report as described in item number 1.1.066, then these annual financial reports must be marked with Archival Code A. The archival requirement, when a biennial or annual narrative report is not produced, is met by sending the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission.		
4.5.005	130	External Fiscal Reports Special purpose - i.e. federal financial reports, salary reports, etc. Includes HUB Reports.	FE + 3		FE + 3			
4.5.006	131	Annual Operating Budgets Required by the General Appropriations Act.	FE + 3		FE + 3			
4.5.007	132	USAS Reports – Daily	AC		AC	AC = Receipt and reconciliation of monthly report.		

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Archival Codes (Field 8)

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4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks			

4.5.008	133	USAS Reports - Monthly	AC		AC	AC = Receipt and reconciliation of annual report.		
4.5.009	134	USAS Reports - Annual	FE + 3		FE + 3			
4.6.001	135	Balancing Records	FE + 3		FE + 3			
4.6.002	136	Reconciliations	FE + 3		FE + 3			
4.7.001	137	Accounting Policies and Procedures Manual	US + 3		US + 3			
4.7.002	138	Bank Statements	FE + 3		FE + 3			
4.7.004	139	Capital Asset Records	LA +3		LA +3			
4.7.005	140	Claim Files	AC + 3		AC + 3	AC = Resolution of claim.		
4.7.006	141	Comptroller Statements	FE + 3		FE + 3			
4.7.007	142	Detail Chart of Accounts One for all accounts in use for a fiscal year.	FE + 3		FE + 3			
4.7.008	143	Federal Grant Records	AC + 3		AC + 3	AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (the Common Rule). CAUTION: Retention requirements may vary depending on the specific federal funding agency. Agencies must ensure that records are retained for the appropriate retention period.		

Retention Codes (Field 7)				Archival Codes (Field 8)			
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4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.	
			Agency	Storage	Total	9. Remarks				

4.7.010	144	Long-Term Liability Records Bonds, etc.	AC + 3		AC + 3	AC = Retirement of debt. (This should be sufficient description to cover all bond records, including CP and MLPP leases.)		
4.7.011	145	Texas Building and Procurement Commission Statements (TBPC) Charge or bill statements received by agencies from the TBPC for services provided.	FE + 3		FE + 3	Should add this in case we ever get bills		
4.7.012	146	Signature Authorizations Signature cards or similar records establishing authority of an agency employee to initiate or authorize financial transactions on behalf of an agency.	US + FE + 3		US + FE + 3			
5.1.001	147	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.	AC + 4		AC + 4	AC = Expiration or termination of the instrument according to its terms. (We do not have construction contracts or contract log.) Need to add: "Caution: does not include leases or other debt instruments that are part of a bond issue. SEE 4.7.010.)		
5.1.003	148	Delivery Reports	2		2			

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			Agency	Storage	Total			

5.1.004	149	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		US			
5.1.005	150	Postage Records Records and reports of postage expenses, including postal meter usage.	FE + 3		FE + 3			
5.1.011	151	Photocopier and Telefax Usage Logs & Reports	AV		AV			
5.1.013	152	Insurance Policies (TPFA has no insurance on vehicles or equip; only real property.).	AC + 4		AC + 4		AC = Expiration or termination of the policy according to its terms.	
5.1.014	153	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 procedures..	US + 1		US + 1			
5.1.015	154	Correspondence Tracking Records Any record created by an agency to track any type of incoming and outgoing correspondence or packages by the U.S. Postal Service or by private couriers.	1		1			

Retention Codes (Field 7)

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Archival Codes (Field 8)

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			Agency	Storage	Total	9. Remarks				

5.1.017	155	Contract Log List of agency contracts, leases, and agreements including general obligation, land lease, utilities, and construction contracts.	FE + 3		FE + 3				
5.2.006	156	Property Destruction, Certificates of	FE + 3		FE + 3				
5.2.007	157	Damage Reports Reports of damage to state property.	FE + 3		FE + 3				
5.2.008	158	Equipment History File; Equipment Service Agreements 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.	LA + 3		LA + 3				
5.2.009	159	Equipment Inventory Detail Report Forms Updates agency portion of the inventory listing and adds, changes, transfers, or deletes items from inventory.	FE + 3		FE + 3				
5.2.010	160	Equipment Manuals	LA		LA				
5.2.011	161	Equipment Warranties	AC + 1		AC + 1		AC = Expiration of Warranty		
5.2.014	162	Inventory - Annual Physical Property, equipment, supply verification.	FE + 3		FE + 3				

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			Agency	Storage	Total	9. Remarks		

5.2.015	163	Inventory, Notices of Equipment Removed From	FE + 3		FE + 3			
5.2.016	164	Inventory System Update Listings Listing shows all additions, changes, deletions, and transfer times for the monthly processing period.	AC		AC		AC = Transfer of information into annual listing.	
5.2.017	165	Lost & Stolen Property Reports	FE + 3		FE + 3			
5.2.020	166	Supply Usage Records	FE + 1		FE + 1			
5.2.023	167	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.	FE + 3		FE + 3			
5.3.005	168	Packing Slips	AV		AV			
5.3.007	169	Bid Documentation Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, accepted and rejected bids, and bid tabulation/evaluations.	FE + 3		FE + 3		CAUTION: If a formal written contract is the result of a successful bid or request for proposal, the successful bid or request for proposal and its supporting documentation must be retained for the same period as the contract. SEE item number 5.1.001 an 5.2.028.	

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5.3.008	170	Purchasing Logs Log, register, etc., providing a record of purchase orders issued, orders received, and similar data on procurement status.	FE + 3	FE + 3				
5.3.009	171	Requests for Information Requests for information preliminary to the procurement of goods or services by direct purchase or bid.	AC	AC		AC = Date of direct purchase, issuance of request for bids, or decision not to proceed with the procurement, as applicable.		
5.4.001	172	Accident Reports and Associated Documentation Accident or occupational disease reports (by supervisors and employees) and other associated reports required to be submitted to the Texas Department of Insurance or its predecessors or maintained internally on accident frequency.	CE + 5	CE + 5		29 CFR 1904.33. The Texas Department of Insurance retains copies of the reports submitted to it for 50 years.		
5.4.002	173	Evacuation Plans Plans for evacuation of agency facilities in cases of emergency.	US	US				
5.4.004	174	Fire Orders Orders issued by Fire Marshal to correct deficiencies in compliance with the fire code.	AC + 3	AC + 3		AC = Deficiency corrected.		

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5.4.011	175	Visitor Control Registers Logs, registers, or similar records documenting visitors to limited access or restricted areas of agency facilities.	3	3				
5.4.012	176	Security Access Records Records relating to the issuance of keys, identification cards, building passes, passwords, signed statements or similar instruments of access to agency or state facilities, equipment or automated systems.	AC + 2	AC + 2		AC = Until superseded, date of expiration, or date of termination, whichever sooner.		
5.4.013	177	Disaster Preparedness and Recovery Plans	US	US				
5.5.001	178	Billing Detail - Telecommunications (Other Than TEX-AN) In addition to summary detail, includes any accompanying detailed listing of long distance calls.	FE + 3	FE + 3				
5.5.002	179	Long Distance Telephone Logs Long distance logs created by agencies for internal documentation purposes. Includes any similar logs created for long distance facsimile or electronic transmissions.	AV	AV				

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			Agency	Storage	Total	9. Remarks			
5.6.005	180	Vehicle Use Reports Includes mileage, fuel/oil consumption, passengers carried and other related operational information.	FE+3		FE+3				
	181	Arbitrage and yield reduction calculations	AC+3		AC+3		AC= Final redemption of bonds. 26 CFR1.148-5(d)(6)(iii)(E), IRS Record Retention FAQs, 2004		
	182	Commercial Paper 8038Gs	AC +3		AC +3		AC= Final redemption of bonds. 26 CFR1.148-5(d)(6)(iii)(E), IRS Record Retention FAQs, 2004		

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