

May 12, 2020



Kara Mace
Deputy Public Counsel
Office of Public Insurance Counsel
William P. Hobby Building, Suite 3-120
333 Guadalupe
Austin, TX 78701

Dear Ms Mace,

Your agency's records retention schedule is approved for use as of **5/5/2020**, and 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 Please ensure that all old copies of the schedule are superseded with this certified copy.

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 annually for the first two years after the initial approval of the schedule and every five years thereafter. The deadline for submission of your schedule for its next recertification is the last working day of **May 2025**

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:

Lorenzo de Zavala
State Archives and
Library Building

1201 Brazos Street
Austin, Texas
78701

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

www.tsl.texas.gov

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Darryl Tocker

Director and Librarian
Mark Smith

Assistant State Librarian
Gloria Meraz

Andrew Glass
512-463-2631
aglass@tsl.texas.gov

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

Sincerely,

A handwritten signature in black ink, appearing to read "Craig Kelso".

Craig Kelso
Director and State Records Administrator

cc: Agency head

TSLAC

Preserving yesterday
Informing today
Inspiring tomorrow



LIBRARY
ARCHIVES

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 359
Agency Name Office of Public Insurance Counsel

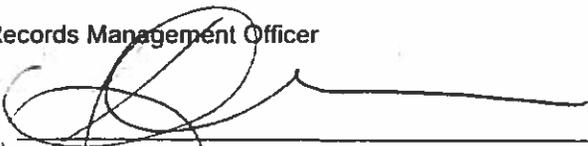
(Check one)

- 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) Kara Mace
Date 5/30/19

Section 2. Approvals

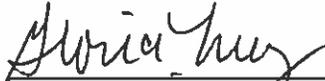
(Submitting agencies do not write in this section)

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) Gloria Meraz
Date 5-5-2020

Cert/Recert 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.





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Records Retention Schedule

SLR 105
Rev. 2017-07

Retention Codes (field 7)

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

Archival Codes (Field 10)

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

1. Agency Code: 359		2. Agency Name: Office of Public Insurance Counsel									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
1	1.1.002	Audits	Audits and review performed by or on behalf of agency, including the working papers. Also includes audits performed on the agency.	AC	7			AC=Publication or release of final audit findings.		The Texas State Auditor's Office (SAO) retains copies of its audits performed on TX state agencies.	
2	1.1.004	Legislative Appropriations Request	Supporting documentation created and/or used to legislative appropriation requests by an agency.	AC	6			AC = September one of odd numbered calendar years.	A	ARCHIVES NOTE: The archival requirement is met by sending required copies of the requests to the Texas State Publications Depository Program, Texas State Library and Archives Commission (TSLAC). Only copies of supporting documentation submitted to the Legislative Budget Board's (LBB) are archival.	



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3	1.1.007	Correspondence-Administrative	Incoming outgoing and Internal correspondence, in any format, pertaining to the formulation, planning, implementation, interpretation, modification, or redefinition of the programs, services, or projects of an agency and the administrative regulations, policies, and procedures that govern them.		4				R	ARCHIVES NOTE: Only the administrative correspondence of executive staff, board or commission members, division directors and program heads require archival review. Contact the State Archives when these records have met their retention periods. CAUTION: This records series and item number 1.1.008 should be used only for correspondence that is not included in or directly related to another records series in this 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	



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4	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 polices, programs, services or projects of the agency.		2					See comment to item number 1.1.007. SEE ALSO item number 1.1.010.	
5	1.1.010	Directives	Any document that officially initiates, rescinds, or amends general office procedures.	US	1						



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6	1.1.013	Calendars, Appointment and Itinerary Records	Calendars, appointment books or programs and scheduling or itinerary records, purchased with state funds or maintained by staff during business hours that document appointments, itineraries and other activities of agency officials or employees.	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 the records have met their retention periods. CAUTION: a record of this type purchased with personal funds, but used by 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 Atty. Gen.	
7	1.1.014	Legal Opinions and Advice	From agency legal counsel or the Atty. Gen., including any requests eliciting the opinions.	AV					R	CAUTION: Does not include legal opinions or advice rendered on a matter in litigation or with regard to pending litigation. SEE item number 1.1.048.	



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					Years	Months	Days				
8	1.1.019	Public Relations Records	News, press releases, or any public relations files maintained or issued by an agency. Includes print, electronic, audio and audiovisual records.		2				R		
9	1.1.020	Public Information Requests - - Not Exempted	Includes all correspondence and documentation relating to requests for records that are furnished to the public under the Public Information Act (CH. 552, Gov't Code).	AC	1			AC=Date request fulfilled.			
10	1.1.021	Public Information Requests - Exempted	Includes all correspondence and documentation relating to requests for records that are exempted under the Public Information Act (Ch.552, Gov't Code).	AC	2			AC=Date of notification that records are exempt.			
11	1.1.023	Organization Charts		US					A		
12	1.1.024	Plans and Planning Records	Plans and records relating to process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other record series in this schedule.	AC	3			AC = Decision made to implement or not to implement result of planning process.	R	ARCHIVES NOTE: Data processing plans are not archival.	



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13	1.1.026	Texas Register Submissions	Copies of all proposed, withdrawn, emergency and adopted rules; open meeting 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 proposed legislation and related correspondence.	AV							
15	1.1.038	Customer surveys	Surveys returned by the customer or client of an agency, and the statistical data maintained rating an agency's performance.	AC	3			AC = When summary report is complete.		See item 1.1.067 4 summary reports compiled from customer surveys.	
16	1.1.040	Speeches, Papers and Presentations	Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC				AC = End of term in office or termination of service in a state position.	R		



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17	1.1.048	Litigation Files	Records created by or on behalf of the agency in anticipation of or in adjudication of a lawsuit.	AC	1			AC = As applicable, decision of 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	ARCHIVE NOTE: Cases that set legal precedents or exhibit historical value will be evaluated by the Archives and Information Service Division of the TSLAC for archival preservation.	
18	1.1.055	Strategic Plans	Information resources and operational strategic plans prepared in accordance with Sec. 2054.095 and 2056.002, Gov't Code.	AC	6			AC = September one of odd-numbered calendar years.	A	ARCHIVES NOTE: The archival requirement is met by sending required copies of the plans to the Texas State Publications Depository Program, Texas State Library and Archives Commission (TSLAC).	



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19	1.1.057	Transitory Information	Records of temporary usefulness that are not an integral part of a record 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 record 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 (voicemail, fax, email, hardcopy, etc.) are routine messages; telephone message notifications; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to the enclosures; and similar routine information used for communications but not for the documentation, of a specific agency transaction.	AC				AC = Purpose of record has been fulfilled.		CAUTION: Records management officers should use caution in assigning this record series item number to records of an agency to make certain they are not part of another record series listed in this schedule or, for record series unique to an agency, are not part of a record series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information needed 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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					Years	Months	Days				
20	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 of a record series in this schedule if the record series is needed for documentation of agency performance measures.	
21	1.1.065	Reports and Studies (Non--Fiscal) Raw Data	Information or data collected and compiled for the purposes of producing non--fiscal reports.	AV						CAUTION: Does not include source documentation used for information or data including in or directly related to other record series in this schedule. See especially item 1.1.064.	
22	1.1.066	Reports - - Biennial or Annual Agency (Narrative)	Biennial narrative reports to the Gov. and legislature or 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.	A	ARCHIVES NOTE: The archival requirement is met by sending required copies of the reports to the Texas State Publications Depository Program, TSLAC.	



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23	1.1.067	Reports and Studies (Non-Fiscal)	Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.		3				R	ARCHIVES NOTE: For agencies that have had archival appraisal, separate this record series by each type of archival coding A, R, or E. SEE page x of the State Records Retention Schedule for more information.	
24	1.1.068	Reports on Performance Measures	Quarterly and annual reports on agency performance measures submitted to the executive and legislative offices.	AC	6			AC = September 1 of odd-numbered calendar years.			
25	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 contracts, and similar activities.		1					CAUTION: SEE item number 1.1.064.	



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					Years	Months	Days				
26	1.1.070	Agency Rules, Policies, and Procedures - - Final	Manuals, guidelines, administrative rules or similar records distributed internally for the use of employees or externally to the public for those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern and agencies programs, services or projects.	AC	3			AC = Completion or termination of program, rules, policies, or procedures.	R	SEE ALSO Agency Rules, Policies and Procedures - Working Files 1.1.071.	
27	1.1.071	Agency Rules, Policies, and Procedures - - Working Files	Working Files used in 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 and agencies programs, services or projects.	AC	3			AC=Completion or termination of programs, rules, policies or procedures.	R	SEE ALSO item number 1.1.070.	
28	1.1.074	Sunset Review Report and Documentation		AC	3			AC = After the subsequent Sunset Review.	R		



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					Years	Months	Days				
29	1.2.005	Records, Retention Schedule (SLR 105)	Agency Copy. Formally RMD 105. Includes documentation of certification and approval forms SLR 105C (formerly RMD 105C), and/or other forms designated by the State Records Administration.	US						Original is retained by the State and Local Records Management Division, TSLAC.	
30	1.2.010	Records Disposition Logs	Logs or similar records listing records destroyed or transferred to the Archives and Information Services Division, TSLAC, showing record series title, dates of records, and the date destroyed or transferred.		10						
31	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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					Years	Months	Days				
32	1.3.001	State Publications	Information in any format that is produced by the authority of or at the total or partial expense of a state agency or is required to be distributed under law by the agency, and is publicly distributed. The term does not include information the distribution of which is solely limited to contracts with or grantees of the agency, staff persons within the agency or within the government agencies or members of the public under the requests made under the Public Information Act, Government Code Chapter 552. The term includes but is not limited to: a publication distributed in print; on microfilm; as audiovisual material; as interactive media or on electronic storage device; as and on-line publication; which is an index to other on-line publication; as one or more text, graphic, or other digital files; or as a user interface to a computer database. A state publications that is subject to a different, longer retention. Should be kept until that retention period ends. For example; items 1.1.004, 1.1.055, 1.1.066, 1.1.068, and 4.5.003 are state publications other the definition, but are closely associated with the appropriations process and must be retained under AC=6	AC	2			AC = Until superseded or obsolete.		CAUTION: Many state publications must be submitted to the Texas State Publications Depository Program, TSLAC, by law (Government Code 441.101 - 441.106). The TSLAC 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 TSLAC (13 TAC 3.1 - 3.16).	



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33	1.3.002	Publication Development Files	Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV					R		
34	2.1.001	Processing Files	Machine-readable files used in creation, utilization, and updating of master files.	AC				AC = Completion of 3rd verification cycle, or audit completion confirming successful transaction processing, or required audit trail maintenance, or the ability to restore or migrate when errors are detected or when hardware or software changes occur.		CAUTION: Records Management Officers must be certain before assigning the retention period of AC to agency automated processing files that the files do not fall under record series listed elsewhere.	



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35	2.1.007	Software Programs	Automated software applications and operating system files including job control language, program listings/sores 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.
36	2.1.008	Hardware Documentation	Records documenting operational and maintenance requirements of computer hardware such as operating manuals, hardware/operating system requirements/hardware configurations, and equipment control systems.	AC				AC = Until electronic records are transferred to and made usable in a new hardware environment or there are no electronic records being retained to meet an approved retention period that require the hardware to be retrieved and read.		CAUTION: Software needed for access to electronic records must be retained for the period of time required access the records.	13 TAC 6.94.



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					Years	Months	Days				
37	2.1.009	Technical Documentation	Records adequate to specify all technical characteristics necessary for reading or processing of electronic records and their timely, authorized disposition including documentation describing how a system operates and necessary for using the system such as user guides, system or sub-system definitions, system specifications, input and output specifications, and system flowcharts; 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, codebook or table or other records that explain the meeting, purpose, structure, logical relationships, and origin of the data elements.	AC				AC = Until electronic records are transferred to and made usable in a new hardware or software environment with new documentation or there are no electronic records being retained to meet an approved retention period that require the documentation to be retrieved and read.		CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.	13 TAC 6.94.



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38	2.2.016	Software Registrations, Warranties and License Agreement.		LA	3						
39	3.1.001	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						29 CFR 1602.31.
40	3.1.002	Applications for Employment - - Hired	Application, 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 = Termination of employment.			
41	3.1.006	Employee Counseling Records	Notes, memoranda, or reports relating to the counseling of an employee for work-related, personal, or substance abuse problems. Usually maintained at the supervisory level except in those agencies would counseling staff.	AC	3			AC = Termination of counseling.			



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42	3.1.011	Employee Insurance Records	Agency copies of information relating to the selection by employees of life, disability, health, and other types of insurance offered by the State of Texas to its employees.	AC				AC = Until superseded or termination of employment.		CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item number 3.2.001.	
43	3.1.012	Employee Opportunity Announcements	Internal or external announcements or advertisements of job openings, promotions, training programs, or opportunities for overtime.		2						29 CFR 1602.31
44	3.1.014	Employment Selection Records	Includes notes of interviews with candidates, questions asked of applicants, audio and videotapes of job interviews, driving record and previous injury checks, pre--employment physical exams, pre-employment drug screening test results, and all other records that document that selection process.		2					CAUTION: does not include criminal history checks. SEE item number 3.1.026.	29 CFR 1602.31
45	3.1.019	Performance Appraisals			2						29 CFR 1602.32(c)



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46	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 corrective action.		CAUTION: If, during the retention period of this record series, any part of this series is used to document and support personnel disciplinary action under item number 3.1.021, all documentation from the series used to support disciplinary action must be retained for the minimum retention period described by item number 3.1.021.	



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49	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 815.06(i).
50	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 criminal history records information from DPS must refer to its agencies legislation or see Subchapter F, Chapter 411, Government Code for appropriate retention and use of this information.	
51	3.1.027	Training and Education 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.			



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52	3.1.029	Employment Eligibility, Document or Verification of	Federal Reporting Form (INS I-9)	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, which ever 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 3 years retention period. 8 CFR 274a.2(b)(2)(i)(A) and (c)(2).	
53	3.1.031	Employee Benefits - - Other than Insurance	Agency copies of information relating to the selection of available benefit options other than insurance.	AC	2			AC = Until superseded or termination of employee.		CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item number 3.2.001.	
54	3.1.034	Resumes - Unsolicited	Retention period applies if an agency applies to the sender of a resume that it will be kept on file should future job openings occur.	AV						See item number 3.1.014 4 resumes, whether solicited or unsolicited, that are used in any way in the employment selection process.	



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55	3.1.038	Public Access Option Form	Form completed and signed by employee or official, or former employee or official, electing to keep home address, home telephone number, social security number, and family information open or confidential under the Public Information Act, Government Code 552.024.	US						SEE item number 3.3.011.	
56	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.			
57	3.2.002	Employee Earnings Records			4						40 TAC 815.106(i)
58	3.2.003	Federal Tax Records	Includes 1099, W2, FICA, and other tax records.	AC	4			AC = Tax due date, date claim is filed, or date tax paid, which ever is later.			29 CFR 31.6001-1(e)(2).
59	3.2.004	Income Adjustment Authorizations	Used to make increases or decreases to employee's gross pay, FICA, retirement, or in the computation of taxes.		2						29 CFR 516.6(c).



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60	3.2.005	W-4 Forms	Employer's copy of "Employee's Withholding Exemption Certificate."	AC	4			AC = Until superseded, obsolete, or upon separation of employee.			29 CFR 31.6001-1(e)(2).
61	3.2.007	Unemployment Compensation Records		AC	5			AC=Date of last payment.			
62	3.2.008	Direct Deposit Application/Authorizations		US							
63	3.2.009	State Deferred Compensation Records		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 the accounts and for additional information regarding the retention period see the most current edition of the "Benefits Coordinator Reference Manual" issued by the Employee Retirement System of Texas.	
64	3.2.010	Human Resources Information System (HRIS) Reports	Includes supporting documentation.	AC	4			AC=Date report verified.			



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65	3.3.004	Benefit Plans	Employee benefit plans such as pension; life, health, and disability insurance; deferred compensation; etc., including amendments.	US	1						29 CFR 1627.3(b)(2).
66	3.3.011	Former Employee Verification Records	Minimum information needed to verify employment, includes name, Social Security number, exact dates of employment, last known address and most recent public access option form.	AC	75			AC = Termination of employment.		SEE item number 3.1.038.	
67	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 reimburse.	FE	3						
68	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 the agency.	US	3						
69	3.3.031	EEO Reports and Supporting Documentation	Includes documentation used to complete EEO reports.		3						29 CFR 1602.32, 1602.39, 1602.41, 1602.48 and 1602.50.



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70	3.4.002	Leave Status Reports	Cumulative report is issued each pay cycle and provides employee leave status for each position.	FE	3						
71	3.4.004	Overtime Authorizations			2						
72	3.4.006	Time Cards and Time sheets			4						40 TAC 815.106(i).
73	3.4.007	Time Off and/or Sick Leave Requests		FE	3						
74	3.4.008	Sick Leave Pool Documentation	Requests submitted, approvals, number of hours transferred in and out, etc.	FE	3						
75	4.1.001	Accounts Payable Information		FE	3						
76	4.1.002	Billing Detail		FE	3					CAUTION: Does not include long-distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.	
77	4.1.003	Cancelled Checks/Stubs/Warrants/Drafts		FE	3						
78	4.1.004	Encumbrance Detail		FE	3						
79	4.1.005	Inventory and Other Cost Files	Production, job, labor, quotes, pricing, specifications, etc.	FE	3						



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80	4.1.007	Transfers or Budget Revisions	Transfer or adjustments to budget.	FE	3						
81	4.1.008	Electronic Fund Transfers	Direct Deposit Registers.	FE	3						
82	4.2.001	Cash Deposit Vouchers	Cash deposit slips.	FE	3						
83	4.2.002	Cash Receipts	Includes receipts for fees (permits, licenses, renewals, etc.).	FE	3						
84	4.2.004	Encumbrance Vouchers	Orders, statements, and change orders, etc.	FE	3						
85	4.2.005	Purchase Vouchers	Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE	3						
86	4.2.006	General Journal Vouchers		FE	3						
87	4.2.007	Expenditure Vouchers	Travel, payroll, etc.	FE	3						
88	4.4.001	General and subsidiary Ledgers		FE	3						
89	4.4.002	Accounts Receivable Ledgers.		FE	3						
90	4.4.003	Accounts Payable Ledgers		FE	3						
91	4.5.001	Worksheets for Preparing Fiscal Reports		FE	3						
92	4.5.002	Internal Fiscal Management Reports	Includes agency monthly budget reports.	FE	3						



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93	4.5.003	Annual Financial Reports	Required By the General Appropriations Act (100 Day Report).	AC	6			AC = September 1 of odd-numbered calendar years.	A	CAUTION: The archival requirement, when biannual or annual narrative report is not produced, is met by sending required copies of the reports to the Texas State Publications Depository, TSLAC.	
94	4.5.006	Annual Operating Budgets	Required by the General Appropriations Act.	FE	3						
95	4.5.007	USAS Reports -- Daily		AC				AC=Receipt and reconciliation of monthly report.			
96	4.5.008	USAS Reports -- Monthly		AC				AC=Receipt and reconciliation of annual report.			
97	4.5.009	USAS Reports - Annual		FE	3						
98	4.6.001	Balancing Records		FE	3						
99	4.6.002	Reconciliations		FE	3						
100	4.7.002	Bank Statements		FE	3						
101	4.7.004	Capital Asset Records		LA	3						



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102	5.1.001	Contracts and Leases	Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence.	AC	7			AC = Expiration or termination of the us according to its terms.			
103	5.1.004	Mail and Telecommunication 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							
104	5.1.005	Postage Records	Records and reports of postage expenses, including postal meter usage.	FE	3						
105	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						
106	5.2.002	Building Construction Project Files	Planning, design, and construction record; accepted and rejected bids; correspondence; etc.	AC	10			AC=Completion of project.	R		



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107	5.2.004	Building Space Requests			1						
108	5.2.008	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, movies, service, etc.; and service/repair logbooks, etc.	LA	3						
109	5.2.009	Equipment Inventory Detail Report Forms	Updates agency portion of the inventory listing and adds, changes, transfers, or deletes items from the inventory.	FE	3						
110	5.2.010	Equipment Manuals		LA							
111	5.2.011	Equipment warranties		AC	1			AC=Expiration of Warranty.			
112	5.2.012	Estimate Files (Supply and Repair Cost Estimates).			1						
113	5.2.014	Inventory - Annual Physical	Property, equipment, supply verification.	FE	3						
114	5.2.015	Inventory, Notices of Equipment Removed From		FE	3						
115	5.2.017	Lost and Stolen Property Reports		FE	3						
116	5.2.019	Service Orders	Agency includes billing code, service, labor, parts and remarks.		1						



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117	5.2.021	Surplus Property Sales Reports		FE	3						
118	5.3.004	Order -- Acknowledgements		AV							
119	5.3.005	Packing Slips		AV							
120	5.3.007	Bid Documentation	Includes bid requisitions/authorizations, invitations to bid or propose, bid specifications, accepted and rejected bids, and bid tabulation/evaluations.	AC	7					CAUTION: If a formal written contract is the result of the successful bid or request for proposal, the successful bid or request for proposal and is supporting documentation must be retained for the same period as the contract. SEE item number 5.1.001.	
121	5.3.008	Purchase Logs	Log, register, etc. providing record of purchase orders issued, orders received, and similar data on procurement status.	FE	3						
122	5.3.009	Request for Information	Requests for information preliminary to the procurement of goods or services by direct purchase or bid	AC				AC = Date of direct purchase, issuance of request for bids, or decision not to proceed with the procurement, as applicable.			



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123	5.4.002	Evacuation Plans	Plans for evacuation of agency facilities in case of emergency.	US							
124	5.4.003	Inspection Records	Fire, safety, and other inspection records of agency facilities and equipment.	AC	3			AC = Inspection, or date of the correction of the deficiency of the inspection report reveals the deficiency.		CAUTION: does not include inspection records of building construction.	
125	5.4.011	Visitor Control Registers	Logs, registers, or similar records documenting visitors to limited access or restricted areas of agency facilities.		3						
126	5.4.012	Security Access Records	Records relating to the issuance of keys, ID cards, building passes, passwords, signed statements or similar instruments of access to agency or state facilities, equipment or automated systems.	AC	2			AC = Until superseded, date of expiration, or date of termination, whichever is sooner.			
127	5.4.013	Disaster Preparedness and Recovery Plans.		US							
128	5.5.001	Billing Detail - - Telecommunications (Other than TEX-AN)	In addition to summary detail, includes any accompanying detailed listing of long-distance calls.	FE	3					SEE item number 5.5.006 for TEX-AN billing detail.	



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3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
129	5.5.006	Billing Detail - - Telecommunications (TEX-AN)	In addition to summary detail, includes any accompanying detailed listing of long-distance calls.	FE	3					The billing agency will maintain all long-distance TEX-AN records and will provide each using agency its bills summary of centralized capital complex telephone service without call detail records. SEE item 5.5.001 4 billing detail from carriers other than TEX-AN.	
130	5.5.007	Disputed Call Documentation	Documentation relating to disputed long-distance calls, including documents evidencing repayment by employees for personal long-distance calls	FE	3						
131	5.6.009	Parking Permits for Assignments		US							
132	4.7.011	Texas Facilities Commission Statements (TFC)	Charge or bill statements received by agencies from the TFC services provided.	FE	3						
133	5.4.007	Hazardous Materials Training Records	Records of training given employees in an agency hazard communications program.		5					Texas Health and Safety Code, 502.009(g).	



STATE OF TEXAS
Records Retention Schedule

SLR 105
 Rev. 2017-07

Retention Codes (field 7)

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

Archival Codes (Field 10)

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

1. Agency Code: 359		2. Agency Name: Office of Public Insurance Counsel									
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					Years	Months	Days				
134	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 agency employee with the Equal Employment Office (EEO) of the U. S. Department of Labor. SEE item number 1.1.048.	