

June 14, 2024



Kathleen Cordova
General Counsel
Texas Veterans Commission
1800 Congress Ave, Suite 14S
Austin, Texas 78701

Dear Kathleen Cordova,

Amendment 1 of the 11th recertification of your agency's records retention schedule is approved for use as of **6/11/2024** and may be accessed on our website at <https://www.tsl.texas.gov/slrn/state/schedules>. Please maintain this amendment with your currently approved schedule so that it can be easily referenced.

We appreciate your efforts in maintaining an up-to-date schedule. Making additions and changes to your schedule as you identify them not only ensures the integrity of your recordkeeping practices but keeps your agency in compliance with state rules (13 TAC §6.4) requiring the submission of any needed amendments to a retention schedule during its certification period to keep the information in the schedule current.

We will notify you of the date your schedule is due for recertification. Any additional approved amendments to your schedule, such as this one, should be incorporated into your main retention schedule prior to submitting it for recertification.

Thank you again for your commitment to complying with state records management laws and regulations. If we can provide any assistance to you, please contact the Government Information Analyst assigned to your agency:

Rebecca Hanna
512-463-5494
rhanna@tsl.texas.gov

Sincerely,

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

Craig Kelso
Director and State Records Administrator

cc: Agency head

Lorenzo de Zavala
State Archives and
Library Building

1201 Brazos Street
Austin, Texas
78701

P.O. Box 12927
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78711-2927

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TSLAC

Preserving yesterday
Informing today
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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 403
 Agency Name Texas Veterans Commission

(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) Kathleen A. Cordova
 Date 05/30/2024

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 Mera
 Date 6/11/24

Cert/Recert No. 11 Amendment No. 1

CAUTION

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

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

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





STATE OF TEXAS Records Retention Schedule

SLR 105
Rev. 2021-07

Retention Codes (field 7)

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					Years	Months	Days				
1	1.1.002	Audit Report from State Auditor	Audits and reviews performed by or on behalf of an agency, including the working papers that support the audit. Also includes audits performed on the agency.	AC	7			AC = Publication or release of final audit findings.		The State Auditor's Office retains any copies of its audits performed on Texas state agencies.	
2	1.1.002	Internal Auditor Reports	Audits and reviews performed by or on behalf of an agency, including the working papers that support the audit. Also includes audits performed on the agency.	AC	7			AC = Publication or release of final audit findings.			
3	1.1.004	Legislative Appropriation Requests (LAR)	Including any supporting documentation created and/or used to justify and support LARs by an agency.	AC	6			AC = September 1 of odd-numbered calendar years.		ARCHIVES NOTE: The final version of Legislative Appropriation Requests must be submitted to the Texas State Publications Depository Program. Working files and related documentation used in creating the final plan are not subject to archival review and may be disposed of at the expiration of the retention period.	13 TAC 3.3(a)(3)(A)
4	1.1.006	Complaint Records and Feedback Records	Complaints and other unsolicited feedback received by agency from the public concerning the agency and records pertaining to resolution of complaints.	AC	2			AC = Date of receipt, action taken, or final disposition of the complaint, whichever is later.		CAUTION: If a complaint becomes the subject of litigation, it must be included in and is subject to the minimum retention period of item number 1.1.048.	



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6	1.1.007	Correspondence - Administrative	Incoming/outgoing and internal leadership, supervisory, managerial, executive, administrative, substantive, and other high-level correspondence in any media, including electronic communication, 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 period. CAUTION: This records series and item number 1.1.008 should only be used 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 in item number 1.1.004; a letter concerning an audit is retained as prescribed by item number 1.1.002. SEE ALSO item number 1.1.011.	



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7	1.1.008	Correspondence - General	Non-administrative incoming/outgoing and internal correspondence in any media pertaining to or arising from the routine operations of the policies, programs, services or projects of the agency.		2					SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.	
7.01	1.1.008	Veteran Inquiries	Requests for assistance from veterans and dependents, or on behalf of constituents of elected officials or other government entities.	AC	2			AC = Date inquiry is resolved.			
8	1.1.010	Directives	Any document that officially initiates, rescinds, or amends general office procedures.	US	1						
9	1.1.011	Executive Orders	Any document that initiates, rescinds, or amends a regulation, policy, or procedure that governs the programs, services, or projects of an agency.	US	3				A		



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10	1.1.013	Calendars/Appointment Books/Itinerary Records	Calendars, appointment books or programs and scheduling, or itinerary records 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, agency heads, and board or commission members 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 of Texas.	



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11	1.1.014	Agency Counsel and Attorney General Opinions	From agency legal counsel or the Attorney General, including any requests eliciting the opinions.	AV					R	CAUTION: Does not include legal opinions or advice rendered on a matter in litigation or with regard to pending litigation. SEE item number 1.1.048. ARCHIVES NOTE: Opinions and advice that set legal precedent or exhibit historical value will be evaluated by the Archives and Information Services Division of the Texas State Library and Archives Commission for archival preservation. See page ix for additional guidelines.	
12	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		
13	1.1.020	Public Information Requests - Not Excepted	Includes all correspondence and documentation relating to requests for records that are furnished to the public under Public Information Act (Chapter 552, Government Code). Also includes withdrawn requests.	AC	1			AC = Date request fulfilled or withdrawn.			



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14	1.1.021	Public Information Requests - Excepted	Includes all correspondence and documentation relating to requests for records that are exempt under the Public Information Act (Chapter 552, Government Code), including records provided to the legislature under section 552.008.	AC	2			AC = Date of notification that records are exempt.			
15	1.1.023	Organization Charts	Charts or diagrams that show the structure of an agency and the relationships and relative ranks of its departments and job positions.	US					A	Archives Notes: Only charts showing the overall arrangement and administrative structure of the state agency need to be transferred to the Archives and Information Services division, Texas State Library and Archives Commission. Organizational charts showing division/department level detail are not considered archival.	
16	1.1.024	Plans and Planning Records	Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC	3			AC = Decision made to implement or not to implement result of planning process.	R	ARCHIVES NOTE: Data processing planning records are not archival.	
17	1.1.043	County Service Officer (CSO) Files - External	Appointment letters, training certificates, certification and accreditation files, qualification information sheets, directories.	AC	5			AC = years after termination of employment.			



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18	1.1.043	County Service Officer (CSO) Conference Records - External	Training and event period information.	AC	5			AC = End of administrative value to agency.			
19	1.1.026	Texas Register Submissions	Copies of all proposed, withdrawn, emergency, and adopted rules; open meetings notices; or any other documents required by law to be submitted to the Texas Register.	AC	1			AC = Date of publication in the Texas Register.			
20	1.1.027	Proposed Legislation	Drafts of proposed legislative bills and related correspondence.	AV							
21	1.1.038	Customer Survey and Questionnaires	Surveys returned by customers, clients, or stakeholders of the agency and statistical data maintained rating an agency's performance.	AC				AC = Final disposition of summary report, or date of decision not to produce a report, as applicable.		SEE item number 1.1.067 for summary reports compiled from customer surveys.	
22	1.1.040	Speeches, Papers, and Presentations	Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	2			AC = End of event, until superseded, or obsolete.	R	ARCHIVES NOTE: Only speeches, papers, and presentations given by or on behalf of executive staff, board or commission members, division directors and program heads require archival review.	
22.01	1.1.043	Training Materials	Instructional materials and other records developed by an agency associated with training the entities or non-personnel individuals it regulates or serves, including but not limited to training manuals, course registration, class rosters, sign-in sheets, syllabuses, course outlines, and similar training aids used in external training programs	AC	1			AC = Close of training session, after training materials superseded, or termination of training program, as applicable.		SEE ALSO item number 3.3.030 for internal personnel materials	



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23	1.1.048	Litigation Files	Records created by or on behalf of an agency in anticipation of or in the adjudication of a lawsuit.	AC	1			AC = As applicable, decision of an agency not to file a lawsuit or decision that a lawsuit will not be filed against it on a matter; dismissal of a lawsuit for want of prosecution or on motion of the plaintiff; or final decision of a court (or of a court on appeal, if applicable) in a lawsuit.	R	ARCHIVES NOTE: Cases that set legal precedent or exhibit historical value will be evaluated by the Archives & Information Services Division of the Texas State Library and Archives Commission for archival preservation. See page ix for more information.	
24	1.1.055	Agency Strategic Plan	Information resources and operational strategic plans prepared in accordance with 2054.095 and 2056.002, Government Code. Includes working files and related documentation used in creating the final plan.	AC	6			AC = September 1 of odd-numbered calendar years.		ARCHIVES NOTES: The final version of Strategic Plans must be submitted to the Texas State Publications Depository Program. Working files and related documentation used in creating the final plan are not subject to archival review and may be disposed of at the expiration of the retention period.	13 TAC 3.3(a)(2)(c)
25	1.1.056	ADA (Americans with Disabilities Act) Documentation	Self evaluation, forms and plans documenting compliance with the requirements of the Americans with Disabilities Act. INCLUDES: Request for Accommodation Special Personnel File (TVCHR-37 Request for Accommodation form, and all documentation related to requests).		3						28 Code of Federal Regulations (CFR) 35.105(c)



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



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27	1.1.058	Commission Meeting Agenda & Minutes	Texas Veterans Commission (TVC), and Texas Coordinating Council for Veterans Services (TCCVS) - Official agenda and minutes of state boards, commissions and councils that conduct open meetings as required by Government Code, Chapter 551.	PM					A	ARCHIVES NOTE: Agency retains permanent record copy. The archival requirement is met by sending a copy to the Archives and Information Services Division, Texas State Library and Archives Commission. CAUTION: This record 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.	
28	1.1.059	Meetings, certified agendas or audiovisual recordings of closed meetings	Agendas, minutes, or audiovisual recordings of closed meetings of state boards, commissions, committees, and councils.	AC	2			AC = The date of the meeting or completion of pending action involving the meeting, whichever is later.		Series is confidential. SEE caution comment at item number 1.1.058	Government Code, 551.104(a).



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29	1.1.060	Audiovisual of open meetings	Audiovisual of open meetings of state boards, commissions, committees, and councils.	AC			90	AC = Approval of written minutes of the meeting by the governing body of an agency.		CAUTION: It is an exception to AC+90 days retention if state agency does not prepare written minutes, it must retain records of opened meetings permanently, following the same retention requirements of item number 1.1.058. SEE CAUTION NOTE at item number 1.1.058.	Government Code, 551.104(a).
30	1.1.062	Meetings Supporting Documentation	Texas Veterans Commission (TVC), and Texas Coordinating Council for Veterans Services (TCCVS). Documents submitted at meetings of state boards, commissions and councils including exhibit items, documentation for agenda items, public comment forms, etc. Includes documentation sent in advance of meetings for briefing purposes, some of which may not be submitted at an actual meeting.		2				A	See CAUTION NOTE under 1.1.058.	
30.01	1.1.063	Staff Meeting Minutes and Notes	Minutes or notes, and supporting documentation, taken at internal agency staff meetings.		1						



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31	1.1.064	Performance Measures Documentation	Any records of an agency needed for the documentation of output, outcome, efficiency, and explanatory measures in an agency's appropriations request or strategic plan, and for performance measures used to manage the agency.	FE	3					CAUTION: The FE + 3 retention period overrides any shorter retention period for a records series in this schedule if the records series is needed for documentation of agency performance measures. See Item number 1.1.068 for reports on agency performance measures.	
32	1.1.066	Reports - Biennial or annual agency (Narrative)	Biennial narrative reports to the governor and legislature as required by an agency's enabling statutes, including annual narrative reports if they are required by statute. Includes working files and related documentation used in creating final report.	AC	6			AC = September 1 of odd-numbered calendar years.		ARCHIVES NOTE: The final version of these agency reports must be submitted to the Texas State Publications Depository Program per 13 TAC 3.3. The requirement is met by sending the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission. Working files and related documentation used in creating the final report may be disposed of at the expiration of the retention period.	



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33	1.1.067	Reports	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. Example Consultants.		3				R	ARCHIVES NOTE: Reports are archival when they deal with significant aspects of the agency's programs. For agencies that have had an archival appraisal, separate this records series by each type of archival coding, A, R, or E. See page ix for more information.	
34	1.1.068	Key Performance Reports	Reports on performance measures (quarterly and annual reports on agency performance measures submitted to the executive and legislative budget offices).	AC	6			AC = September 1 of odd-numbered calendar years.		AC+6 retention period overrides any shorter retention period for records series in this schedule if the record series is needed for documentation of agency performance measures.	
35	1.1.069	Activity Report & Workcopies	Reports compiled by agency personnel on a daily or other periodic basis pertaining to workload monitoring, task completion times, number of public contacts, and similar activities.		1					CAUTION: SEE item number 1.1.064.	



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36	1.1.070	Agency Rules, Policies and Procedures (Procedure Guide)	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. Includes working files and related documentation used in creating rules, policies, and procedures.	AC	3			AC = Until superseded, or termination of program, rules, policies, or procedures, whichever applicable.	R	ARCHIVES NOTE: Working files and related documentation used in creating the final rules, policies, and procedures, are not subject to archival requirement and may be disposed of at the expiration of the retention period.	Government Code 434
38.01	1.1.072	Public Information Reports	Reports made to the Office of the Attorney General on an agency's Public Information Act activities, per Government Code, 552.010.		2						
39	1.1.074	Sunset Review Report and Related Documentation	Sunset Review Report, agency self-study, and other correspondence and supporting documentation related to the Sunset review process for state agencies.	AC	3			AC = After the subsequent Sunset Review.	R	ARCHIVES NOTE: Related documentation includes the agency response to the commission's draft report and documentation of the agency's implementation of the commission's final recommendations. The final version of the agency self-evaluation report must be submitted to the Texas State Publications Depository Program per 13 TAC 3.3(a)(1).	



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39.01	1.1.076	Subpoenas	Subpoenas for production of evidence produced for litigation in which the state agency is not party. Includes legal documents requiring recipient to appear in court to testify, or to produce records to be used in litigation.	AC				AC = Date request fulfilled.		SEE ALSO Item Number 1.1.048 for subpoenas related to litigation in which the state agency is a party.	
42.01	1.2.001	Destruction Authorizations	TVCRM-01 - Notice of Records Disposition form. Documents authorizing final disposition of records under a certified records retention schedule. Records may also include destruction authorizations (e.g., form RMD 102) approved by Texas State Library and Archives Commission.	FE	3					CAUTION: If destruction authorizations are maintained as part of Item number 1.2.010 (Records Disposition Logs), then longer retention period applies.	
46.01	1.2.003	Forms History and Maintenance	Master versions of all forms used internally and externally by the agency, including subsequent revisions to an agency form or any associated design or design modification requests.	AC	2			AC = Until superseded or use of form is discontinued			



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40	1.2.005	Records Retention Schedule - SLR 105	Agency copy. Formerly RMD 105. Includes documentation of certification and approval - forms SLR 105C (formerly RMD 105C), and/or other forms designated by the State Records Administrator. This series may include working files and documentation of certification and approval by the Texas State Library and Archives Commission.	US						Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission.	
41	1.2.006	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.	AV							
43	1.2.010	Records Disposition Log	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						
45	1.2.012	Records Inventories	Worksheets or working papers used to capture records inventory information, including location tracking and to document existence and requirements of a record series.	US							



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46	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 by an agency.	US	1						
47.01	1.3.001	State Publications - Veterans Benefits Booklet, and E-Vets	One copy of each state publication, except a publication that is subject to a different retention period in this schedule. --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. Does not include information which is solely distributed to contractors or grantees of the agency, staff persons within the agency or within other government agencies, or members of the public under a request made under the Public Information Act, Government Code, Chapter 552.	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, 441.103-441.105). The Texas State Library and Archives Commission will retain a copy of all state publications submitted to it on a continuing basis, subject to periodic evaluation to determine if the publication merits further retention. For additional information and requirements concerning state publications made available to the public through the internet, consult the administrative rules of the Texas State Publications Depository Program of the Texas State Library and Archives Commission (13 TAC §§3.1-3.8).	



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47	1.3.002	Publication Development Files	Physical and digital development and design files used to create State Publications, including but not limited to background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV					R	ARCHIVES NOTE: Successive and substantive drafts of major publications may be archival. Major is defined by both the publication's authorship and its impact on Texas and Texans. Original artwork, including photo prints and negatives that have significant value as evidence of agency programs as well as the potential for re- use, may be archival. SEE Item number 1.3.001 for final State Publication created from development files.	Government Code 434.104, 434.105, and 441.101-106; and 13 TAC 3.1 - 3.8
48	2.1.002	Master Files and Application Data	Relatively long-lived computer files containing organized and consistent sets of complete and accurate electronic records and associated processing files. Examples include, but are not limited to, data tables of relational databases used by applications or computer programs.	AC				AC = Until electronic records are transferred to and made usable in a new system environment, or there are no electronic records being retained to meet an approved retention period established in this schedule that require the use of the system.		CAUTION: Records management officers must be certain before assigning the retention period of AC to agency master files and application data that the files do not fall under records series listed elsewhere.	



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49	2.1.007	Computer Software Programs	Agency-developed automated software applications, operating system files, and associated processing files, including job control language, programs, applications, scripts, source code, etc.	AC				AC = Until electronic records are transferred to and made usable in a new system environment or there are no electronic records being retained to meet an approved retention period that require the system 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
50	2.1.008	Computer Hardware Documentation	Records documenting operational and maintenance requirements of computer hardware such as operating manuals, hardware/operating system requirements, hardware configurations, equipment control systems, and associated processing files.	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: Hardware 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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51	2.1.009	Hardware and Software Technical Documentation	Records adequate to specify all technical characteristics necessary for reading or processing electronic records; to document modifications to computer programs; to access, retrieve, manipulate, and interpret data in an automated system; and allow for their timely, authorized disposition. Records include but are not limited to: user guides, system or sub-system definitions, system specifications, input and output specifications, system flow charts, program flow charts, program maintenance logs, change notices, data element dictionaries, file layouts, code books or tables, and other records that explain the meaning, purpose, structure, logical relationships, and origin of the data elements.	AC				AC = Until electronic records are transferred to and made usable in a new hardware or software environment with new documentation or there are not electronic records being retained to meet an approved retention period that require the documentation to be retrieved and read.		CAUTION: Hardware and software needed for access to electronic records must be retained for the period of time required to access the records.	13 TAC 6.94.



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52	2.1.010	Audit Trail Records	Files needed for electronic data audits. Records include but are not limited to: reports showing transactions accepted, rejected, suspended, and/or processed; history files or tapes; records of updates to application files; and security logs.	AC				AC = All audit requirements have been met.			
53	2.2.014	Internet Browser Files	A record of web pages visited during an internet session, including data files of user-specific information created by the webserver, that allows users to access previously visited pages more quickly or to generate a record of usage of a state-owned computer.	AV						The disposal of internet cookies need not be documented through destruction authorizations (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).	
55	2.2.016	Software Registrations, Warranties, and License Agreements	Records documenting the registration and licensing of a software application to activate the software for legal use by the end users of the state agency, along with warranties providing that the software will perform in accordance with functional specifications.	LA	3						29 Code of Federal Regulations (CFR) 1602.31



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56	3.1.001	Application for Employment - Not Hired	Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.	AC	2			AC = Date of the making of the records or personnel action involved, whichever occurs later.		CAUTION: Does not include ADA Accommodation Requests. See RSIN 3.1.042.	29 CFR 1602.31.
57	3.1.002	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 = Termination of employment.			
57.01	3.1	Employee's Personnel Files	HR File - may include but not limited to: new hire documentation; personnel forms; copies of payroll forms; HR training and policies acknowledgements; employee recognition; performance appraisals; and Texas Workforce Commission legislative transfer employee personnel files. 3.1.002, 3.1.006, 3.1.011, 3.1.019, 3.1.020, 3.1.021, 3.1.022, 3.1.023, 3.1.027, 3.1.029, 3.1.037, 3.2.001, 3.3.030	AC	5			AC = Date of employment termination/separation.			29 CFR 1602.31



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58	3.1.006	Employee Counseling Records	Notes, memoranda, or reports relating to the counseling of an employee for work-related, personal, or substance abuse problems. Usually maintained at the supervisorial level except in those agencies with counseling staff.	AC	3			AC = Termination of counseling.			
59	3.1.011	Employee Benefits	Agency copies of information relating to the selection by employees of life, disability, health, vision, dental, and other types of insurance or benefits 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.	
60	3.1.012	Employment Opportunity Announcements	Internal or external announcements or advertisements of job openings, promotions, training programs, or opportunities for overtime.		2						29 CFR 1602.31
61	3.1.013b	Employment Contracts - 8/31/2015 and Prior	Includes a contract or agreement regarding the terms and conditions of employment of an individual and a contract with a vendor for temporary staffing services. Executed, renewed or amended on or before August 31, 2015	AC	4			AC = Expiration or termination of the contract according to its terms.		NOTE: Refer to SB20 (84th Leg.) for retention period context.	Government Code 441.1855
61.01	3.1.013a	Employment Contracts - 9/1/2015 and After	Includes a contract or agreement regarding the terms and conditions of employment of an individual and a contract with a vendor for temporary staffing services. Executed, renewed or amended on or after September 1, 2015.	AC	7			AC = Expiration or termination of the contract according to its terms.			Government Code 441.1855



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62	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 examinations, and all other records that document the selection process.	AC	2			AC = Date of the making of the record or the personnel action involved, whichever occurs later.		CAUTION: Does not include criminal history checks. SEE item number 3.1.026.	29 CFR 1602.31
63	3.1.018	Grievance Records	Records relating to the review of employee grievances or complaints 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 (DOL). SEE item number 1.1.048.	
64	3.1.019	Performance Appraisals	Job evaluations, performance appraisals, or other similar documents used to evaluate the performance of an employee.		2					SEE Employee Personnel Files 57.01.	29 CFR 1620.32(c).
65	3.1.020	Personnel Corrective Action Documentation	Corrective actions are those actions which do not affect pay, status, or tenure and are imposed to correct or improve an employee's job performance.	AC	5			AC = Termination of employment.		CAUTION: If, during the retention period of this records series, any part of this series is used to document and support personnel disciplinary action under item number 3.1.021, all documentation from this 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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66	3.1.021	Personnel Disciplinary Action Documentation	Disciplinary actions are those actions which may affect pay, status, or tenure. They are imposed to discipline an employee whose conduct is harmful to the best interests of the state, the agency, or the employee work force; and for failure to improve performance or conduct following imposition of corrective action. May include cause for demotion, suspension, or dismissal, and the reasons for failure to give written notice of resignation. May also be used to document evidence of employee self-improvement efforts, as well as favorable and unfavorable communication.	AC	5			AC = Termination of employment.			
67	3.1.022	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						29 CFR 1602.31
68	3.1.023	Employee Job Descriptions	Job descriptions, including all associated task or skill statements, for positions in an agency.	AC	4			AC = Until superseded or job eliminated.			40 TAC 815.106(i). Government Code Chapter 411, Subchapter F



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69	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 record information from DPS must refer to its agency's legislation or see Subchapter F, Chapter 411, Government Code for appropriate retention and use of this information.	
70	3.1.027	Training Records, including Accreditation Files	Certificates of completion, certifications, licenses, transcripts, test scores, or similar records documenting the training, testing, or continuing education achievements of an employee. Example: (Employee Accreditation with Veterans' Organizations)	AC	5			AC = Termination of employment.		SEE Employee Personnel Files 57.01.	
71	3.1.029	Employment Eligibility Documentation	Federal reporting (form I-9).	AC	1			AC = 3 years after date of hire or 1 year after termination of employment, whichever later.			8 CFR 274a.2(b)(2)(i)(A) and (c)(2)
73	3.1.034	Resumes - Unsolicited	Retention period applies if an agency replies to the sender of a resume that it will be kept on file should future job openings occur.	AV						SEE RSIN 3.1.014 for resumes, whether solicited or unsolicited, that are used in any way in the employment selection process.	
74	3.1.037	Employee Recognition Records/Awards	Awards, incentives, tenure, etc.	AC	5			AC = Termination of employment.		SEE item number 57.01. Employee Personnel Files.	



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75	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						CAUTION: Most recent public access election information must be kept as long as the former employee verification records. SEE item number 3.3.011	29 CFR 1602.31.
182	3.1.042	ADA Accommodation Requests	Employee or applicant requests for reasonable accommodation under the ADA (Americans with Disabilities Act).	AC	2			AC = For employees, termination of employment; for job applicants who were not selected, date of application.			29 CFR 1602.31.
76	3.2.001	Employee Deduction Authorization	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 employment, or after amendment, expiration, or termination of authorization, whichever is sooner.			
77	3.2.002	Employee Earnings Records	Payroll records and registers documenting employee earnings, wages, and pay. This may include but is not limited to payroll input records, summary statements, payroll vouchers, payroll detail sheets, and payroll history.	AC	4						40 TAC 815.106(i).
78	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 is paid whichever is later.			26 CFR 31.6001-1(e)(2).



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79	3.2.004	Income Adjustment Authorization	Used to make increases or decreases to an employee's gross pay, FICA, retirement, or in the computation of taxes.		2						29 CFR 516.6(c).
80	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.			26 CFR 31.6001-1(e)(2).
81	3.2.006	Wage Rate Tables	Records defining the wage or salary rate for each position in the agency expressed in dollars, grades, or step numbers.		2						29 CFR 516.6(a)(2).
82	3.2.007	Unemployment Compensation Records	Records and documentation relating to unemployment compensation claims, including reimbursement of funds disbursed by Texas Workforce Commission (TWC).	AC	5			AC = Resolution of the claim.			
83	3.2.008	Direct Deposit Application / Authorization	Forms used to deposit employee's earnings into a specified personal account.	AC				AC = Until superseded, cancelled, or last payment deposited after termination of employment, whichever applicable.			



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84	3.2.009	State Deferred Compensation Records	Records documenting the amount of pension or deferred compensation earned by individual employees.	AC	5			AC = All accounts with a vendor or vendors for the individual participant have been closed.		For instructions regarding the determination of the closure of accounts and for additional information regarding the retention period see the most current edition of the Benefits Coordinator Reference Manual issued by the Employees Retirement System of Texas. NOTE: TVC retains records fitting 3.2.009 longer than TSLAC's minimum.	
86	3.3.004	Employee Benefit Plans	Employee benefit plans such as pension; life, health, and disability insurance; deferred compensation; etc., including amendments.	AC	1			AC = Until superseded or plan terminated.			29 CFR 1627.3(b)(2).
88	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 authorization.	AC	75			AC =Termination of employment.		SEE item number 3.1.038.	
89	3.3.015	Position/Job Classification Review File	Records relating to review and monitoring of job classifications within an agency.	US	3						
90	3.3.020	Work Schedules	Work, duty, shift, crew, or case schedules, rosters, or assignments.	AV							
91	3.3	Texas Workforce Commission (TWC) Reports	Reports to the agency from TWC or its predecessor pertaining to employees.		3					Includes records fitting to 3.3.010 and 3.3.022.	



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92	3.3.023	Reimbursable Activities - Travel/Educational/ Work-Related	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						
93	3.3.024	Personnel Policies and Procedures	Any internally distributed manual, guidelines, or similar records that define agency-wide policies and procedures concerning the personnel of an agency.	US	3						
94	3.3.025	Job Procedure Records	Any documents detailing procedural duties and responsibilities of agency positions on a position-by-position basis.	US	3						
95	3.3.026	Agency Staffing Reports	Any reports compiled by an agency on aspects of personnel staffing, including listings of all staff by program or name, staff hired during a month, detailed listings of employees within its organizational structure, position vacancies, analyses of turnover rates and seasonality of employment, etc.	US	3						29 CFR 1602.31
96	3.3.027	Aptitude and Skills Tests	Aptitude, competency, or skills tests and checklists required of job applicants or of current personnel to qualify for promotion or transfer, including validation records.	AC	2			AC = Until superseded or no longer used by agency.		CAUTION: One copy of each different master test (different in terms of either questions or administration procedures) should be retained for the period indicated.	29 CFR 1602.31



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97	3.3.028	Aptitude and Skills Tests (Test Papers)	Completed aptitude, competency, or skills test papers and checklists of job applicants or of current personnel taking a test to qualify for promotion or transfer.		2						29 CFR 1602.31
99	3.3.030	Internal Training Administration Records	Records documenting the planning, development, implementation, administration and evaluation of in-house training programs, including but not limited to training manuals, course registration, class rosters, sign-in sheets, syllabuses, course outlines, and similar training aids used in in-house training programs.	AC	2			AC = Close of training session, after training materials superseded, or termination of training program, as applicable.		See Item number 1.1.043 for external training records. See Item number 3.1.027 for individual employee training records. CAUTION: Does not include hazardous material training records. See Item 5.4.007.	
102	3.3.031	EEO Reports and Supporting Documentation	Includes documentation used to complete EEO reports.		3						29 CFR 1602.32, 1602.48, and 1602.50.
103	3.3.032	Equal Pay Records	Reports, studies, aggregated or summary data, and similar documentation compiled to monitor and demonstrate compliance with the federal Equal Pay Act.		3					NOTE: TVC retains records fitting 3.3.032 longer than TSLAC's minimum.	29 CFR 1620.32(c).



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104	3.4.001	Accumulated Leave Adjustment Requests	Used to create employee leave balances, to transfer leave balances when an employee transfers positions, to adjust carry-over balances on August 31, to correct errors on leave accumulation, and to close out leave accounts on separated employees.	FE	3						
105	3.4.002	Leave Status Reports (Monthly Report)	Cumulative report is issued each pay cycle and provides employee leave status information for each position.	FE	3						
107	3.4.004	Overtime Authorizations/Reports	Records created to schedule time worked by employees outside of or in addition to their regular working hours, including approval authorizations and schedules.		2					CAUTION: Only includes overtime schedules and authorizations. See item number 3.4.006 for timekeeping records.	
109	3.4.006	Time and Attendance Records	Records documenting individual employee's hours worked, including work schedules and documentation evidencing adherence to or deviation from normal hours for those employees working on fixed schedules.		4						40 TAC 815.106(i)
110	3.4.007	Time Off and/or Sick Leave Requests	Requests and authorization for vacation, compensatory, sick, Family and Medical Leave Act (FMLA), sick pool leave, and other types of authorized leave, and supporting documentation.	FE	3						Government Code, Section 661.152 (d); 29 CFR 825.500(b).



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110.01	3.4	Family Medical Leave Act (FMLA) records	All FMLA documentation for an employee for each Fiscal Year, including preliminary designation letters, health care provider certifications, determination letters, FMLA Leave Record Worksheets, and other FMLA-related documentation.	FE	3					Records relating to certifications, recertifications or medical histories of employees or their family members, created for FMLA purposes, shall be maintained as confidential medical records in separate files from the usual personnel files. If the Genetic Information Nondiscrimination Act of 2008 (GINA) is applicable, records shall be maintained in accordance with confidentiality requirements of Title II of GINA (29 CFR 1635.9). If the ADA, as amended, is also applicable, such records shall be maintained in conformance with ADA confidentiality requirements (29 CFR 1630.14(c)(1)).	29 CFR 825.500, 29 CFR 1635.9, and 29 CFR 1630.14(C)(1).
111	3.4.008	Sick Leave Pool Documentation	Requests submitted, approvals, number of hours transferred in and out, etc.	FE	3						



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112	4.1.001	Accounts Payable Information	Claims; invoices; statements; copies of checks and purchase orders; expenditure authorizations; ledgers; encumbrance, purchase, general journal, expenditure, and special vouchers; and similar records that serve to document disbursements, including those documenting claims for and reimbursement to employees for travel and other expenses.	FE	3						
183	4.1.009	Accounts Receivable Information	Bill copies or stubs, statements, ledgers, billing registers, account cards, deposit warrants, cash receipts, credit card receipts, receipts books, cash transfers, daily cash reports, reconciliations, general journal vouchers, special vouchers, and similar records that serve to document money owed to or received by the agency and its collection or receipt.	FE	3						
125	4.5.002	Fiscal Management Reports	Internal and external periodic fiscal management reports and associated worksheets, including federal financial reports, salary reports, HUB reports, investment performance reports, etc.	FE	5					CAUTION: This series does not include fiscal reports created to fulfill grant requirements. See Item number 4.7.008	



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126	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.		ARCHIVES NOTE: The final version of Annual Financial Reports must be submitted to the Texas State Publications Depository Program per 13 TAC 3.3(a)(2)(a). Working files and related documentation used in creating the final plan are not subject to archival review and may be disposed of at the expiration of the retention period. CAUTION: If an agency does not produce a biennial or annual narrative report as described in RSIN 1.1.066, then the archival requirement is met by sending the required copies of this annual financial report to the Texas State Publications Depository Program, Texas State Library and Archives Commission.	
184	4.9.001	Annual Operating Budgets	Required by the General Appropriations Act. Includes encumbrances and documentation about budget transfers and revisions, as well as detail charts of accounts.	FE	3						
129	4.5.007	USAS Reports - Daily/Monthly	Periodic reports compiled from information entered into the Uniform Statewide Accounting System (USAS).	AC				AC = Receipt and reconciliation of annual report.			



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131	4.5.009	USAS Reports - Annual	Yearly report compiled from information entered into the Uniform Statewide Accounting System (USAS).	FE	3						
133	4.7.001	Accounting Policies and Procedures Manual	Records documenting the internal and external procedural requirements with respect to the accounting department of the state agency.	US	3						
134	4.7.004	Capital Asset Records	Documentation relating to the capital and fixed assets of a state agency, including equipment or property history cards containing data on initial cost, depreciation schedules or summaries used for capital outlay budgeting, and property sale, auction, or disposal records of agency owned equipment and property.	LA	3						
136	4.7.008A	Grant Records -Awarded	State and federal grant projects participated in or administered by state agencies. Includes grant authorization records, which provide evidence of the award of grants to or by agencies; grant/project financial or performance reports, which are periodic reports of financial activity and/or program performance related to grants received or made by agencies and other sponsored projects.	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 funding agency. Agencies must ensure that records are retained for the appropriate retention period.	



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185	4.7.008b	Grant Records - Non Awarded	Non-awarded, denied, or unfunded grant applications and proposals.	AC	2			AC = Date of notification.			
138	4.7.012	Signature Authorization	Signature cards or similar records establishing authority of an agency employee to initiate or authorize financial transactions on behalf of an agency.	AC	4			AC = Until superseded, date of expiration, or termination of employee, whichever sooner.			
186	4.8.001	Banking Records	Bank statements, credit card statements, cancelled checks, check registers, deposit slips, debit and credit notices, reconciliations, and other banking related records.	FE	3						
187	4.9.001	Annual Operating Budgets	Required by the General Appropriations Act. Includes encumbrances and documentation about budget transfers and revisions, as well as detail charts of accounts.	FE	3						



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*139.01	5.1.001a	Contracts and Leases - 9/1/2015 and After	Executed, renewed, or amended on or after September 1, 2015. Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. May also include other applicable documentation in the master contract file per Texas Comptroller of Public Accounts Contract Management Guide.	AC	7			AC = Expiration or termination of the instrument according to its terms.		SEE related item number 5.3.007b Bid Documentation. SEE item number 5.1.017 for Contract logs.	Government Code 441.1855



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139	5.1.001b	Contracts and Leases - 8/31/2015 and Prior	Executed, renewed or amended on or before August 31, 2015. Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. May also include other applicable documentation in the master contract file per Texas Comptroller of Public Accounts Contract Management Guide (CMG).	AC	4			AC = Expiration or termination of the instrument according to its terms.		SEE related item number 5.3.007a Bid Documentation. SEE item number 5.1.017 for Contract Logs.	
139.02	5.1.017	Contract Log	List of agency contracts, leases, and agreements including general obligation, land lease, utilities, and construction contracts.	FE	3						
140	5.1.004	Mail and Telecommunications Logs	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							
141	5.1.005	Postage Records	Records and reports of postage expenses, including postal meter usage.	FE	3						
142	5.1.007	Requisitions for In-Agency/Inter-Agency Copy/Printing Service	Includes word processing and data processing.	AV							



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143	5.1.011	Photocopier and Facsimile Usage Logs & Reports	Registers or logs of print copies and fax transmissions made by user or in total.	AV							
144	5.1.015	Correspondence Tracking Records	Any record created by the agency to track any type of incoming and outgoing correspondence or packages by the US Postal Service (USPS) or by private courier.		1						
145	5.2.002	Building Construction Project Files	Project records related to planning, design, construction, conversion, or modernization of state facilities, structures, infrastructure, and systems, including feasibility, screening, and implementation studies; topographical and soil surveys and reports; as-builts; laboratory test reports; environmental impact statements; correspondence; successful and unsuccessful bid documentation and other related documentation.	AC	10			AC = Completion of project.	R	SEE ALSO item number 5.2.003	
146	5.2.003a	Building Plans and Specifications - State Owned	Includes architectural and engineering drawings, profiles, and blueprints of planning, design, construction, conversion, or modernization of state-owned facilities, structures, infrastructure, and systems.	LA					R	SEE ALSO item number 5.2.002	



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146.01	5.2.003b	Building Plans and Specifications - Leased	Includes architectural and engineering drawings, profiles, and blueprints of planning, design, construction, conversion, or modernization of leased facilities, structures, infrastructure, and systems.	AC	2			AC = termination or cancellation of lease according to its terms.		SEE ALSO item number 5.2.002	
147	5.2.004	Building Space Requests	Records documenting building space requests and approvals. Information on request forms may include but is not limited to: the building and room; the reason for the change; parties involved in the request; date of request and approval.		1						
148	5.2.006	Inventory and Property Control Records	Records documenting the inventory, maintenance, usage, checkout, and disposal of supplies, equipment, and property of a state agency. Includes lost, stolen, and damage reports.	FE	3					See ALSO item number 5.2.008 for maintenance logs of individual pieces of equipment.	
149	5.2.008	Inspection, Repair, and Maintenance Records - Equipment	Equipment history file, which may include logbooks and requests for installation, moves, service, repair, etc.	LA	3					For service agreements or contracts related to equipment repairs and service, retain in accordance with item number 5.1.001.	
151	5.2.010	Equipment Manuals		LA							
152	5.2.011	Equipment Warranties		AC	1			AC = Expiration of warranty.			
153	5.2.012	Supply and Repair Cost Estimates	Quotes for minor construction and repair projects and supplies. Includes supporting documentation, as applicable.		1						



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156	5.2.016	Inventory System Update Listings	Listing shows all additions, changes, deletions, and transfer times for the monthly processing period.	AC				AC = Transfer of information into annual listing.			
158	5.2.019	Service Orders	Requests or work orders for repairs or maintenance to facilities, vehicles, or equipment completed by internal agency personnel or external service providers.		1						
188	5.2.024	Equipment Descriptions and Specifications	Equipment and material descriptions and specifications that may include but are not limited to detailed descriptions; lists of raw materials and ingredients; physical characteristics of items; special handling procedures; or technical drawings.	AC	2			AC = Equipment or material is no longer in the agency.			
161	5.2.027	Space Utilization Reports	Reports summarizing efficiency of facility space utilization, which may include data on room usage, demand, allocation, and capacity.	AV							
189	5.2.029	Returned Mail	Documentation of mail returned by the postal or other mail delivery services as undeliverable.	AC	1			AC = Date returned.		CAUTION: If corrected address provided and mail rerouted, maintain address update documentation for prescribed retention period.	
163	5.3.003	Freight Claims	Freight or cargo claims against carrier for damage or loss to a shipment.	AC	2			AC = Resolution of claim.			43 TAC 218.61(d); 49 USC 14706(e).



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164	5.3.004	Shipping Information	Shipping information, including order acknowledgements, packing slips, and related documentation.	AV						CAUTION: Some shipping information may require longer retention period. State agencies must determine if longer retention period is required based on the type of materials shipped to or from their agency.	
166.01	5.3.007a	Bid Documentation - 9/15/2015 and After	Associated with contracts executed, renewed, or amended on or after September 1, 2015. Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, awarded and unawarded bids, and bid tabulation/evaluations.	AC	7			AC = Expiration or termination of the instrument according to its terms or decision not to proceed with the bid.			Government Code, 441.1855.
166	5.3.007b	Bid Documentation - 8/31/2015 and Prior	Associated with contracts executed, renewed, or amended on or before August 31, 2015. Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, awarded and unawarded bids and bid tabulation/evaluations.	FE	3					NOTE: Refer to SB20 (84th Leg.) for retention period context.	Government Code, 441.1855.
166.02	5.3.007c	Bid Documentation - invalid Bid	Invalid bids that that do not meet agency submission requirements and are not included in bid evaluation process (e.g., withdrawn, missed submission deadline, incomplete submission, etc.).	AC	2			AC = Date of notification of denial or date of withdrawal, as applicable.			



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167	5.3.008	Purchasing Logs	Log, register, etc., providing a record of purchase orders issued, orders received, and similar data on procurement status.	FE	3						
168	5.3.009	Requests for Information	Requests for information preliminary to the procurement of goods or services by direct purchase or bid.	AC				AC = Decision not to proceed with the procurement.		CAUTION: If the request for information leads to request for proposal or bid, the request for information documentation should be retained in accordance with item number 5.3.007a/b/c.	
169	5.4.001	Occupational Accident Reports and Associated Documentation	Accident or occupational disease reports (by supervisors and employees) and other associated reports required to be submitted to the State Office of Risk Management (SORM) or its predecessors or maintained internally on accident frequency.	CE	5						29 CFR 1904.33; 28 TAC 120.1(c).
170	5.4.002	Evacuation Plans	Plans for evacuation of agency facilities in cases of emergency.	US							
171	5.4.011	Visitor Control Logs	Logs, registers, or similar records documenting visitors to limited access or restricted areas of agency facilities. Example: Sign-in sheets for veterans and dependents assisted in office.		3						



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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
 E – Exempt from archival review and transfer

1. Agency Code: 403		2. Agency Name: Texas Veterans Commission									
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
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172	5.4.012	Security Access Records	Records relating to the issuance of keys, identification cards, building access passes, passwords, signed statements, or similar instruments of access to agency or state facilities. INCLUDES: DPS Parking Applications (CP-9), DPS Badge Access Forms (CP-6), Vehicle Information Forms for temporary parking, DPS Termination Notices (CP-52), and any other documentation related to assisting employees or visitors with state parking and badges.	AC	2			AC = Until superseded, date of expiration, or date of termination, whichever sooner.			
173	5.4.013	Continuity of Operations Plan (COOP)	Plans developed (per Texas Labor Code, 412.054) to mitigate the damage of potential events that could endanger an agency's ability to function. Includes disaster preparedness, response, and recovery plans.	US							
190	5.5.002	Telephone Activity Records	Telephone logs created for internal documentation purposes; station activity reports of internal listings of incoming/outgoing telephone activity to individual telephone stations; operator call transfers; summary detail reports; and system activity reports of internal listings of all incoming/outgoing agency telephone activity.	AV						SEE item 4.1.001 for telephone bills.	



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176	5.5.007	Disputed Call Documentation	Documentation relating to disputed long distance calls, including documents evidencing repayment by employees for personal long distance use.	AC	3			AC = Dispute resolved or repaid + FE.			
177	5.6.004	License and Driving Record Checks		AC				AC = Until superseded or until termination of employment.			
178	1.1	Veterans Education Approvals	Documents relating to approval applications, external facility visit reports, compliance for external facility visit reports, general correspondence.	AC	6			AC = Date of approval action.		NOTE: Series includes records fitting to 1.1.008.	
179	1.1	Veterans Education Approvals - Withdrawn School Files	Documents relating to approval applications, external facility visit reports, compliance for external facility visit reports, general correspondence.	AC	6			AC = Date of disapproval (per federal contract with VA).			
180.01	1.1.057	Transitory Information	Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's 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. Example: Listing of offices and area point of contacts with address and phone numbers.	US	1						



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180		Veterans Education Excellence Recognition Award (VEERA)	Application, that is filled out by the IHE; All grading sheets filled out by the VEERA Award panel; Supplemental documentation to support information in the application; Video or an email with the link to the video; And Final list of awardees submitted to the Commissioners.	AC	2			AC = Date Awarded			Government Code 434.252