



November 2, 2017

Dominique Daruvalla
Reporting Analyst
Office of Injured Employee Counsel
7551 Metro Center Dr, Suite 100, MS-50
Austin, TX 78744

Re: Agency records retention schedule amendment approved for use.

Dear Mr. Daruvalla:

Lorenzo de Zavala
State Archives and
Library Building

1201 Brazos Street
Austin, Texas
78701

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

www.tsl.texas.gov

Commission Chairman
Michael C. Waters

Members

Sharon T. Carr
F. Lynwood Givens
Larry G. Holt
Romanita Mata-Barrera
Wm. Scott McAfee
Martha Wong

Director and Librarian
Mark Smith

Assistant State Librarian
Gloria Meraz

Amendment 1 to your agency's 2nd recertification of your records retention schedule is approved for use as of October 30, 2017. Your currently approved records retention schedule and all amendments are available on our website at <https://www.tsl.texas.gov/slrn/state/schedules.html>. 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 regulations (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, Joshua Clark at 512-936-0270 or jclark@tsl.texas.gov.

Sincerely,

A handwritten signature in black ink, appearing to read "CK", written over a light blue horizontal line.

Craig Kelso
Director and State Records Administrator

cc: Agency head

TSLAC

Preserving yesterday
Informing today
Inspiring tomorrow

Section 1. Agency Information
(Submitting agencies complete this section only)

Agency Code 448
 Agency Name Office of Injured Employee 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)* Dominique Daruvalla
 Date 9/19/2017

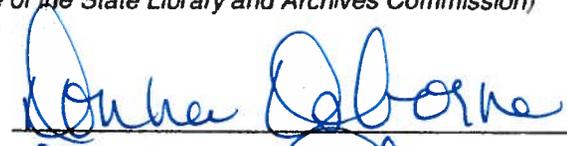
Section 2. Approvals
(Submitting agencies do not write in this section)

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

Not Required at This Time

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

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

Signature 
 Name *(Print or type)* Donnet Osborne
 Date 10/30/17

Cert/Recert No. 2 Amendment No. 1

CAUTION

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

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



STATE OF TEXAS
Records Retention Schedule Amendment

448 Office of Injured Employee 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	13. N, C, O	14. Current AIN
					Years	Months	Days						
109		Dispute Case Files	Dispute Case Files - OMB-02 Form	AC	5			Three months of inactivity.		The electronic version will be retained AC + 5.		C	109
110a	3.1.013	Employment Contracts	a) Executed, renewed, or amended on or after September 1, 2015.	AC	7			Expiration or termination of the contract according to its terms.		Enacted per SB 20	Government Code, 441.1855	N	
110b	3.1.013	Employment Contracts	b) Executed, renewed, or amended on or before August 31, 2015.	AC	4			Expiration or termination of the contract according to its terms.		Enacted per SB 20	Government Code, 441.1855	N	
111a	3.1.035	Performance Bonds	Bonds posted by employees and individuals or entities under contract with an agency for the performance of the duties of a position or the terms of a contract with the agency. a) Executed, renewed, or amended on or after September 1, 2015.	AC	7			Expiration or termination of the bond according to its terms.			Government Code, 441.1855	N	
111b	3.1.035	Performance Bonds	Bonds posted by employees and individuals or entities under contract with an agency for the performance of the duties of a position or the terms of a contract with the agency. b) Executed, renewed, or amended on or before August 31, 2015.	AC	4			Expiration or termination of the bond according to its terms.			Government Code, 441.1855	N	
112	4.7.008	Grant Records	This series documents state and federal grant projects participated in or administered by state agencies. It includes grant authorization records, which provide evidence of the award of grants to or by agencies; grant/project financial or performance reports, which are periodic reports of financial activity and/or program performance related to grants received or made by agencies.	AC	3			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.		N	

Retention Codes (field 7)

AC – See event trigger 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

STATE OF TEXAS
Records Retention Schedule Amendment

448 Office of Injured Employee Counsel													
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					Years	Months	Days						
113a	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, 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. b) Executed, renewed, or amended on or after September 1, 2015.	AC	7			Expiration or termination of the instrument according to its terms.		SEE related item numbers 3.1.035 Performance Bonds and 5.3.007 Bid Documentation. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs.	Government Code 441.1855	C	98
113b	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, 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. b) Executed, renewed, or amended on or before August 31, 2015.	AC	4			Expiration or termination of the instrument according to its terms.		SEE related item numbers 3.1.035 Performance Bonds and 5.3.007 Bid Documentation. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs.	Government Code, 441.1855	N	
114a	5.1.013	Insurance Policies	For vehicles, equipment, etc. a) Executed, renewed, or amended on or after September 1, 2015.	AC	7			Expiration or termination of the policy according to its terms.			Government Code 441.1855	N	
114b	5.1.013	Insurance Policies	For vehicles, equipment, etc. b) Executed, renewed, or amended on or before August 31, 2015.	AC	4			Expiration or termination of the policy according to its terms.			Government Code 441.1855	N	
115	5.2.008	Equipment History File	Includes requests for installation, moves, service, etc.; and service/repair logbooks, etc.	LA	3					For service agreements or contracts related to equipment repairs and		C	101

Retention Codes (field 7)

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STATE OF TEXAS
Records Retention Schedule Amendment

448 Office of Injured Employee Counsel													
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					Years	Months	Days						
116a	5.3.007	Bid Documentation	Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, successful and unsuccessful bids, and bid tabulation/evaluations. a) Associated with a contract executed, renewed, or amended on or after September 1, 2015.	AC	7			Expiration or termination of the instrument according to its terms or decision not to proceed with the bid.				C	103
116b	5.3.007	Bid Documentation	Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, successful and unsuccessful bids, and bid tabulation/evaluations. b) Associated with a contract executed, renewed, or amended on or before August 31, 2015.	FE	3							N	
116c	5.3.007	Bid Documentation	Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, successful and unsuccessful bids, and bid tabulation/evaluations. c) Unsuccessful bids that do not meet agency submission requirements and are not included in bid evaluation process (e.g. withdrawn, missed submission deadline, incomplete submission, etc.).	AC	2			Date of notification of denial or date of withdrawal, as applicable.				N	
117	5.3.009	Requests for Information	Requests for information preliminary to the procurement of goods or services by direct purchase or bid.	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 5.3.007.			C	105

Retention Codes (field 7)

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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

June 24, 2015

Ms. Melinda Schulze
Reporting Analyst
Office of Injured Employee Counsel
7551 Metro Center Drive, Ste. 100, MS-50
Austin, TX 78744-1609

RE: Agency records retention schedule approved for use

Dear Ms. Schulze:

Your agency's records retention schedule is approved for use as of June 16, 2015. Your currently approved records retention schedule is available on our website at <https://www.tsl.texas.gov/slrn/state/schedules.html>. Please ensure all old copies of the schedule are superseded with this recertified copy.

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

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 **June 2020**.

During a certification period changes may need to be made to your schedule. State regulations (13 TAC §6.4) also allow for the submission of amendments to the retention schedule as needed to keep the information in the schedule current. If you are not familiar with the amendment process, or if you have any other questions, please contact the Government Information Analyst assigned to your agency, Bret Adams, at 512-936-0270 or badams@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,



Craig Kelso
Director and State Records Administrator

cc: State Auditor, State Archivist, Jessica Corna



State and Local
Records Management

P.O. Box 12927
Austin, Texas
78711.2927

4400 Shoal Creek Blvd.
Austin, Texas
78756

www.tsl.texas.gov

Commission Chairman
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Martha Doty Freeman
F. Linwood Givens
Larry G. Holt
Wm. Scott McAfee
Sandra J. Pickett

Director and Librarian
Mark Smith

Assistant State Librarian
Edward Seidenberg

*Preserving yesterday,
informing today,
inspiring tomorrow.*

R01.448/448

448 MR



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 448
Office of Injured Employee
Agency Name Counsel

(Check one)

- Initial Certification - Form SLR 105
[X] 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
[X] Records Management Officer

Signature

Melinda Schulze

Name (Print or type) Melinda Schulze

Date February 25, 2015

Section 2. Approvals

(Submitting agencies do not write in this section)

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

Not Required at This Time

Signature

Name (Print or type)

Date

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

Signature

E. Eidenberg

Name (Print or type)

Date

06-16-2015

Cert/Recert No.

2

Amendment No.

CAUTION

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

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





STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 1 of 40

2. Agency Code 448		3. Agency Name Office of Injured Employee Counsel						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

1.1.002	1	Category 1: Administrative Records Section 1.1 General Audits Audits and reviews performed by or on behalf of an agency, including the working papers that support the audit. Also includes audits performed on the agency.	AC+7		AC+7	AC = Publication or release of final audit findings. The State Auditor's Office retains any copies of its audits performed on Texas state agencies.	
1.1.004	2	Legislative Appropriation Requests Including any supporting documentation created and/or used to justify and support legislative appropriations requests by an agency.	AC + 6		AC + 6 A	AC = September 1 of odd-numbered calendar years. ARCHIVES NOTE: The archival requirement is met by sending the required copies of the requests to the Texas State Publications Depository Program, Texas State Library and Archives Commission. Only copies of supporting documentation submitted to the Legislative Budget Board are archival.	

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



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 2 of 40

2. Agency Code 448		3. Agency Name Office of Injured Employee Counsel						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			

1.1.006	3	Complaint Records Complaints received by an agency from the public concerning the agency and records pertaining to the resolution of the complaint.	AC+2		AC+2	AC = Final disposition of the complaint. CAUTION: If a complaint becomes the subject of litigation, it must be included in and is subject to the minimum retention period of item number 1.1.048.		
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Retention Codes (Field 7)						Archival Codes (Field 8)		
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	A – Transfer to State Archives				
AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded	R – Review by State Archivist				



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 3 of 40

2. Agency Code 448		3. Agency Name Office of Injured Employee Counsel						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			

1.1.007	4	<p>Correspondence - Administrative Incoming/outgoing and internal correspondence pertaining to the formulation, planning, implementation, interpretation, modification, or redefinition of the programs, services, or projects of an agency and the administrative regulations, policies, and procedures that govern them.</p>	4		4	R	<p>ARCHIVES NOTE: Only the administrative correspondence of executive staff, board or commission members, division directors and program heads require archival review. Contact the State Archives when these records have met their retention periods. CAUTION: This records series and item number 1.1.008 should be used only for correspondence that is not included in or directly related to another records series on the agency's approved schedule. For example, a memorandum that documents an appropriations request must be retained for the minimum retention period prescribed by item number 1.1.004; a letter concerning an audit for that prescribed by item number 1.1.002, etc. SEE ALSO item number 1.1.011.</p>		
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Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	A – Transfer to State Archives			
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 4 of 40

2. Agency Code 448		3. Agency Name Office of Injured Employee Counsel							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				

1.1.008	5	Correspondence - General Non-administrative incoming/outgoing and internal correspondence, in any media, pertaining to or arising from the routine operations of the policies, programs, services, or projects of an agency.	2		2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.		
1.1.010	6	Directives Any document that officially initiates, rescinds, or amends general office procedures.	US + 1		US + 1				
1.1.011	7	Executive Orders Any document that initiates, rescinds, or amends a regulation, policy, or procedure that governs the programs, services, or projects of an agency.	US + 3		US + 3	A			

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

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 5 of 40

2. Agency Code 448		3. Agency Name Office of Injured Employee Counsel						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			

1.1.013	8	<p>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.</p>	CE + 1		CE + 1	R	<p>ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the State Archives when these records have met their retention periods. CAUTION: A record of this type purchased with personal funds, but used by a state official or employee to document his or her work activities may be a state record and subject to this retention period. See Open Records Decision 635 issued in December 1995 by the Attorney General.</p>		
1.1.014	9	<p>Legal Opinions and Advice From agency legal counsel or the Attorney General, including any requests eliciting the opinions.</p>	AV		AV	R	<p>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.</p>		

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



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 6 of 40

2. Agency Code 448		3. Agency Name Office of Injured Employee Counsel							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				

1.1.019	10	Public Relations Records News, press releases, or any public relations files maintained or issued by an agency. Includes print, electronic, audio, and audiovisual records.	2	2	R		
1.1.020	11	Public Information Requests - Not Exempted Includes all correspondence and documentation relating to requests for records that are furnished to the public under Public Information Act (Chapter 552, Government Code).	AC+1	AC+1		AC = Date request fulfilled.	
1.1.021	12	Public Information Requests - Exempted Includes all correspondence and documentation relating to requests for records that are exempt under the Public Information Act (Chapter 552, Government Code).	AC+2	AC+2		AC = Date of notification that records are exempt.	
1.1.023	13	Organizational Charts	US	US	A		

Retention Codes (Field 7)				Archival Codes (Field 8)			
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STATE OF TEXAS

Records Retention Schedule

SLR 105

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1. Page 7 of 40

2. Agency Code 448		3. Agency Name Office of Injured Employee Counsel						
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			Agency	Storage	Total			

1.1.024	14	Plans and Planning Records Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC+3		AC+3	R	AC = Decision made to implement or not to implement result of planning process. ARCHIVES NOTE: Data processing planning records are not archival.		
1.1.026	15	Texas Register Submissions Copies of all proposed, withdrawn, emergency, and adopted rules; open meetings notices; or any other documents required by law to be submitted to the Texas Register.	AC+1		AC+1		AC = Date of publication in the Texas Register.		
1.1.027	16	Proposed Legislation Drafts of proposed legislation and related correspondence.	AV		AV				
1.1.038	17	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC		AC		AC = Final disposition of summary report. SEE item number 1.1.067 for summary reports compiled from customer surveys.		

Retention Codes (Field 7)				Archival Codes (Field 8)			
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STATE OF TEXAS

Records Retention Schedule

SLR 105

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1. Page 8 of 40

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			Agency	Storage	Total			

1.1.040	18	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC		AC	R	AC = End of term in office or termination of service in a state position.	
1.1.041	19	Suggestion System Records Suggestions submitted by agency personnel and responses.	1		1			
1.1.043	20	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1		US+1			

Retention Codes (Field 7)				Archival Codes (Field 8)			
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STATE OF TEXAS

Records Retention Schedule

SLR 105

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1. Page 9 of 40

2. Agency Code 448		3. Agency Name Office of Injured Employee Counsel						
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			Agency	Storage	Total			

1.1.048	21	<p>Litigation Files Records created by or on behalf of an agency in anticipation of or in the adjudication of a lawsuit.</p>	AC+1		AC+1	R	<p>AC = As applicable, decision of an agency not to file a lawsuit or decision that a lawsuit will not be filed against it on a matter; dismissal of a lawsuit for want of prosecution or on motion of the plaintiff; or final decision of a court (or of a court on appeal, if applicable) in a lawsuit. ARCHIVES NOTE: Cases that set legal precedent or exhibit historical value will be evaluated by the Archives and Information Services Division of the Texas State Library and Archives Commission for archival preservation.</p>		
1.1.053	22	<p>Registration Logs Logs or similar records used to register persons appearing before state agencies as required by Chapter 2004, Government Code, including quarterly reports filed with the Texas Ethics Commission.</p>	AC		AC		<p>AC = Report filed with the Texas Ethics Commission.</p>		

Retention Codes (Field 7)						Archival Codes (Field 8)			
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STATE OF TEXAS

Records Retention Schedule

SLR 105

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1. Page 10 of 40

2. Agency Code 448		3. Agency Name Office of Injured Employee Counsel						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

1.1.055	23	Strategic Plans Information resources and operational strategic plans prepared in accordance with § 2054.095 and § 2056.002, Government Code.	AC+6		AC+6	A	AC = September 1 of odd-numbered calendar years. ARCHIVES NOTE: The archival requirement is met by sending the required copies of the plans to the Texas State Publications Depository Program, Texas State Library and Archives Commission.		
1.1.056	24	ADA (Americans with Disabilities Act) Documentation Self evaluations and plans documenting compliance with the requirements of the Americans with Disabilities Act.	3		3		28 CFR 35.105(c).		

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



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2. Agency Code 448		3. Agency Name Office of Injured Employee Counsel						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			

1.1.057	25	<p>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.</p>	AC		AC	<p>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 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).</p>		
Retention Codes (Field 7)		transaction.					Archival Codes (Field 8)	

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

CE – Calendar Year End
FE – Fiscal Year End

LA – Life of Asset
MO – Months

PM – Permanent
US – Until Superseded

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



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

1.1.058	26	<p>Meeting Agenda and Minutes Official agenda and minutes of state boards, committees, commissions, and councils that conduct open meetings as required by Government Code, Chapter 551.</p>	PM		PM	A	<p>ARCHIVES NOTE: Agency retains permanent record copy. The archival requirement will be met by sending a copy to the Archives and Information Services Division, Texas State Library and Archives Commission. CAUTION: This records series and item numbers 1.1.059, 1.1.060, 1.1.061, and 1.1.062 must be used for those state boards, committees, commissions, and councils, which by law or the biennial Appropriations Act, are administered by another state agency. These records and all others related to the functions of any of these dependent entities must be included in the records retention schedule of the administering agency.</p>	
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Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	A – Transfer to State Archives	R – Review by State Archivist		
AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded				



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			Agency	Storage	Total			

1.1.059	27	Meetings, Certified Agendas or Tape Recordings of Closed Certified agendas or tape recordings of closed meetings of state boards, commissions, committees, and councils.	AC+2		AC+2	AC = The date of the meeting or completion of pending action involving the meeting, whichever is later. Government Code, 551.104(a). SEE caution comment at item number 1.1.058.		
1.1.060	28	Meetings, Audio or Videotapes of Open Audio or videotapes of open meetings of state boards, commissions, committees, and councils.	AC+90 days		AC+90 days	AC = Official approval of written minutes of the meeting by the governing body of an agency. CAUTION: Minutes of state agencies are permanent records. Audio and videotapes are not permanent media. State agencies may not retain audio or videotapes of the meetings of governing bodies in lieu of written minutes. The proceedings of all meetings of state boards, committees, commissions, and councils must be reduced to writing. SEE caution comment at item number 1.1.058.		

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



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			Agency	Storage	Total				

1.1.061	29	Meeting - Notes Notes taken during open meetings of state boards, commissions, committees, and councils from which written minutes are prepared.	AC+90 days		AC+90 days		AC = Approval of the formal minutes by the governing body. SEE caution comment at item number 1.1.058.		
1.1.062	30	Meetings - Supporting Documentation Documents submitted at meetings of state boards, commissions, committees, and councils including exhibit items, documentation for agenda items, etc. Includes documents sent in advance of meetings for briefing purposes, some of which may not be submitted at an actual meeting.	2		2	A	SEE caution comment at item number 1.1.058.		
1.1.063	31	Staff Meeting Minutes and Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1		1				

Retention Codes (Field 7)				Archival Codes (Field 8)			
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AV – Administrative Value	FE – Fiscal Year End	MO – Months					



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

1.1.064	32	Agency Performance Measures Documentation Any records of an agency needed for the documentation of output, outcome, efficiency, and explanatory measures in an agency's appropriations request or strategic plan, and for performance measures used to manage the agency.	FE+3		FE+3		CAUTION: The FE + 3 retention period overrides any shorter retention period for a records series in this schedule if the records series is needed for documentation of agency performance measures.		
1.1.065	33	Reports and Studies (Non-Fiscal)-Raw Data Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV		AV		CAUTION: Does not include source documentation used for information or data included in or directly related to another records series in this schedule. SEE especially item number 1.1.064.		
1.1.066	34	Reports-Biennial or Annual Agency (Narrative) Biennial narrative reports to the governor and legislature as required by an agency's enabling statutes, including annual narrative reports if they are required by statute.	AC+6		AC+6	A	AC = September 1 of odd-numbered calendar years. ARCHIVES NOTE: The archival requirement is met by sending the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission.		

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



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

1.1.067	35	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3		3	R		
1.1.068	36	Reports on Performance Measures Quarterly and annual reports on agency performance measures submitted to executive and legislative offices.	AC + 6		AC + 6		AC = September 1 of odd-numbered calendar years.	
1.1.069	37	Reports - Activity Reports compiled by agency personnel on a daily or other periodic basis pertaining to workload monitoring, task completion times, number of public contacts, and similar activities.	1		1		CAUTION: SEE item number 1.1.064.	

Retention Codes (Field 7)				Archival Codes (Field 8)			
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2. Agency Code 448		3. Agency Name Office of Injured Employee Counsel							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				

1.1.070	38	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3		AC+3	R	AC = Completion or termination of program, rules, policies or procedures. SEE ALSO: Agency Rules, Policies and Procedures – Working Files, item number 1.1.071.		
1.1.071	39	Agency Rules, Policies, and Procedures-Working Files Working files used in the development of manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3		AC+3	R	AC = Completion or termination of program, rules, policies or procedures. SEE ALSO item number 1.1.070.		

Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	A – Transfer to State Archives	R – Review by State Archivist	US – Until Superseded	
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4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				

1.1.072	40	Public Information Reports Reports made to the Office of the Attorney General on an agency's Public Information Act activities	2		2				
1.1.073	41	Administrative Hearings Transcripts and final decisions of hearings conducted as part of the regulatory process, and hearings on proposed rules and changes. The records may be maintained with related information including meeting notices, proofs of publication, and meeting minutes.	AC+3		AC+3	R	AC = Last action.		
1.1.074	42	Sunset Review Report and Documentation.	AC+3		AC+3	R	AC = After the subsequent Sunset Review.		
1.1.075	43	Alternative Dispute Resolutions - Final Agreement Final agreement described by Government Code, §2009.054(c), associated with a matter conducted under an alternative dispute resolution procedure in which personnel of a state agency participated as a party on the agency's behalf.	AC+4		AC+4		AC = Date of final agreement. Texas Civil Practice and Remedies Code, Chapter 154.071.		

Retention Codes (Field 7)				Archival Codes (Field 8)			
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AV – Administrative Value	FE – Fiscal Year End	MO – Months					



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2. Agency Code 448		3. Agency Name Office of Injured Employee Counsel						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			

1.2.001	44	Section 1.2 – Records Management Destruction Authorizations Agency level documents authorizing final disposition of records under a certified records retention schedule.	FE+3		FE+3			
1.2.003	45	Forms History File Print masters of original version and all subsequent revisions to an agency form, including any associated design or design modification requests.	AC+1		AC+1	AC = Discontinuance of use of form.		
1.2.004	46	Forms Inventory Any periodic listing of all forms used internally or externally by an agency.	US		US			
1.2.005	47	Records Retention Schedule (SLR 105) Agency copy. Formerly RMD 105. Includes documentation of certification and approval - forms SLR 105C (formerly RMD 105C) and/or other forms designated by the State Records Administrator.	US		US	Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission.		

Retention Codes (Field 7)				Archival Codes (Field 8)			
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2. Agency Code 448		3. Agency Name Office of Injured Employee Counsel						
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			Agency	Storage	Total			

1.2.006	48	Records Transmittal Forms Agency copy (includes RMD 101, Tx-R-5, 306-58-1, and Agency Storage Forms). Forms indicate records transferred to storage or a transfer of legal custody.	AC + 2		AC + 2	AC = Date of authorization for destruction, permanent transfer from storage, or transfer to the Archives and Information Services Division, Texas State Library and Archives Commission, by the agency records management officer.		
1.2.008	49	Request for Authority to Dispose of State Records (RMD 102) Agency copy.	FE + 3		FE + 3	Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission.		
1.2.010	50	Records Disposition Logs Logs or similar records listing records destroyed or transferred to the Archives and Information Services Division, Texas State Library and Archives Commission, showing records series title, dates of records, and date destroyed or transferred.	10		10			
1.2.011	51	Record Center Storage Approval Forms (RMD 106) Agency copy.	US		US			
1.2.012	52	Records Inventory Worksheets	US		US			

Retention Codes (Field 7)						Archival Codes (Field 8)		
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AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded	R – Review by State Archivist				



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2. Agency Code 448		3. Agency Name Office of Injured Employee Counsel						
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			Agency	Storage	Total			

1.2.013	53	Records Control Locator Aids Includes indexes, card files, shelf lists, registers, guides, etc.	AC		AC	AC = When control aid is updated, revised, or no longer needed. CAUTION: These records must carry the same retention period and archival code of the records they support.	
1.2.014	54	Records Management Plans Records management plans and similar records that establish the policies and procedures under which records and information are managed in an agency.	US+1		US+1		
1.2.015	55	Disaster Recovery Service Transmittals (RMD 109) Also includes documentation for disaster recovery services provided by other entities.	FE+1		FE+1		
1.2.016	56	Disaster Recovery Service Approval Form (RMD 113) Agency copy of form.	AC		AC	AC = Until superseded or termination of service.	

Retention Codes (Field 7)				Archival Codes (Field 8)			
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AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded	R – Review by State Archivist			



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			Agency	Storage	Total			

1.3.001	57	<p>Section 1.3 – State Publications</p> <p>State Publications One copy of each state publication as defined on page xi of the introduction of the Texas State Records Retention Schedule (RRS), except a publication that is subject to a different retention period in the RRS. For example, a meeting agenda (see item number 1.1.058) also meets the definition, but it must be retained permanently; item numbers 1.1.004, 1.1.055, 1.1.066, 1.1.068, and 4.5.003, which also meet the definition, are closely associated with the appropriations process and must be retained AC+6.</p>	AC+2		AC+2	<p>AC = Until superseded or obsolete. CAUTION: Many state publications must be submitted to the Texas State Publications Depository Program, Texas State Library and Archives Commission, by law (Government Code 441.101- 441.106). The Texas State Library and Archives Commission will retain a copy of all state publications submitted to it on a continuing basis, subject to periodic evaluation to determine if the publication merits further retention. For additional information and requirements concerning state publications made available to the public through the Internet, consult the administrative rules of the Texas State Publications Depository Program of the Texas State Library and Archives Commission (13 TAC 3.1-3.16).</p>	
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Retention Codes (<i>Field 7</i>)				Archival Codes (<i>Field 8</i>)					
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	A – Transfer to State Archives	R – Review by State Archivist	AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded



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			Agency	Storage	Total			

1.3.002	58	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		AV	R		
2.1.001	59	Category 2: Electronic Data Processing Records Section 2.1 – Automated Applications Processing Files Machine-readable files used in the creation, utilization, and updating of master files.	AC		AC		AC = Completion of 3rd verification cycle, or audit completion confirming successful transaction processing, or required audit trail maintenance, or the ability to restore or migrate when errors are detected or when hardware or software changes occur. CAUTION: Records management officers must be certain before assigning the retention period of AC to agency automated processing files that the files do not fall under records series listed elsewhere.	

Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	A – Transfer to State Archives	R – Review by State Archivist		
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			Agency	Storage	Total			

2.1.002	60	<p>Master Files Relatively long-lived computer files containing organized and consistent sets of complete and accurate electronic records. Examples include, but are not limited to, data tables of relational databases used by applications or computer programs.</p>	AC		AC	<p>AC = Completion of 3rd verification cycle, or audit completion confirming successful transaction updates, or required audit trail maintenance, or the ability to restore or migrate when errors are detected or when hardware or software changes occur. CAUTION: Records management officers must be certain before assigning the retention period of AC to agency automated processing files that the files do not fall under records series listed elsewhere.</p>		
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Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	A – Transfer to State Archives			
AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded	R – Review by State Archivist			



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			Agency	Storage	Total				

2.1.007	61	Software Programs Automated software applications and operating system files including job control language, program listing/source code, etc.	AC		AC	AC = Until electronic records are transferred to and made usable in a new software environment or there are no electronic records being retained to meet an approved retention period that require the software to be retrieved and read. 13 TAC 6.94. CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.		
3.1.001	62	Category 3: Personnel Records Section 3.1 – Employee Applications for Employment - Not Hired Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.	2		2	29 CFR 1602.31 [State Agencies].		

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



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			Agency	Storage	Total				

3.1.002	63	Applications for Employment - Hired Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.	AC+5		AC+5	AC = Termination of employment.		
3.1.006	64	Employee Counseling Records Notes, memoranda, or reports relating to the counseling of an employee for work-related, personal, or substance abuse problems. Usually maintained at the supervisory level except in those agencies with counseling staff.	AC+3		AC+3	AC = Termination of counseling.		
3.1.011	65	Employee Insurance Records Agency copies of information relating to the selection by employees of life, disability, health, and other types of insurance offered by the State of Texas to its employees.	AC		AC	AC = Until superseded or termination of employment. CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item number 3.2.001.		

Retention Codes (Field 7)				Archival Codes (Field 8)			
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			Agency	Storage	Total			

3.1.012	66	Employment Opportunity Announcements Internal or external announcements or advertisements of job openings, promotions, training programs, or opportunities for overtime.	2		2		29 CFR 1602.31 [State Agencies].		
3.1.014	67	Employment Selection Records Includes notes of interviews with candidates, questions asked of applicants, audio and videotapes of job interviews, driving record and previous injury checks, pre-employment physical examinations, pre-employment drug screening test results, polygraph examination results, and all other records that document the selection process.	2		2		29 CFR 1602.31 [State Agencies]. CAUTION: Does not include criminal history checks. SEE item number 3.1.026.		
3.1.018	68	Grievance Records Records relating to the review of employee grievances against personnel policies, working conditions, etc.	AC+2		AC+2		AC = Final decision on the grievance. CAUTION: Does not include formal complaints filed by an agency employee with the Equal Employment Office (EEO) of the U. S. Department of Labor. SEE item number 1.1.048.		

Retention Codes (Field 7)				Archival Codes (Field 8)			
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AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded	R – Review by State Archivist			



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			Agency	Storage	Total				

3.1.019	69	Performance Appraisals	2		2		29 CFR 1620.32(c).		
3.1.020	70	Personnel Corrective Action Documentation Corrective actions are those actions which do not affect pay, status, or tenure and are imposed to correct or improve an employee's job performance.	AC+5		AC+5		AC = Termination of corrective action. CAUTION: If, during the retention period of this records series, any part of this series is used to document and support personnel disciplinary action under item number 3.1.021, all documentation from this series used to support disciplinary action must be retained for the minimum retention period described by item number 3.1.021.		

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3.1.021	71	<p>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.</p>	AC+5		AC+5	AC = Termination of employment.		
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3.1.022	72	Personnel Information or Action Forms Forms or similar records used to create or change information concerning the records of an employee including pay grade, position classification, employee number, evaluation date, and termination of employment.	2		2		29 CFR 1602.31 [State Agencies].		
3.1.023	73	Position/Job Descriptions Job descriptions, including all associated task or skill statements, for positions in an agency.	AC+4		AC+4		AC = Until superseded or job eliminated. 40 TAC 815.106(i).		
3.1.026	74	Criminal History Checks Criminal history record information on job applicants or agency employees obtained from the Department of Public Safety (DPS).	AC		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.		

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3.1.027	75	Training and Educational Achievement Records (Individual) Certificates of completion, transcripts, test scores, or similar records documenting the training, testing, or continuing education achievements of an employee.	AC+5		AC+5	AC = Termination of employment.		
3.1.034	76	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		AV	SEE item number 3.1.014 for resumes, whether solicited or unsolicited, that are used in any way in the employment selection process.		
3.1.037	77	Employee Recognition Records Awards, incentives, tenure, etc.	AC+5		AC+5	AC = Termination of employment.		
3.1.038	78	Public Access Option Form Form completed and signed by employee or official, or former employee or official, electing to keep home address, home telephone number, social security number, and family information open or confidential under the Public Information Act, Government Code 552.024.	US		US	See item 3.3.011.		

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3.3.011	79	Section 3.3 – Personnel Administration Former Employee Verification Records Minimum information needed to verify employment, includes name, social security number, exact dates of employment, last known address and most recent public access option form.	AC+75		AC+75		AC = Termination of employment. See item number 3.1.038.		
3.3.023	80	Reimbursable Activities, Requests and Authorizations to Engage in Requests and authorizations for travel; participation in educational programs, workshops, or college classes; or for other work-related activities for which the expenses of the employee are defrayed or reimbursed.	FE+3		FE+3		ACHIVES NOTE: All meal receipts (Overnight and Partial Per Diem) must be destroyed after validation.		
3.3.024	81	Personnel Policies and Procedures Any internally distributed manuals, guidelines, or similar records that define agency wide policies and procedures concerning the personnel of an agency.	US+3		US+3				

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3.3.025	82	Job Procedure Records Any documents detailing the procedural duties and responsibilities of agency positions on a position-by-position basis.	US+3		US+3			
3.3.026	83	Agency Staffing Reports Any reports compiled by an agency on aspects of personnel staffing, including listings of all staff by program or name, staff hired during a month, detailed listings of employees within its organizational structure, position vacancies, analyses of turnover rates and seasonality of employment, etc.	US+3		US+3			
3.3.027	84	Aptitude and Skills Tests Aptitude or skills tests required of job applicants or of current personnel to qualify for promotion or transfer.	US+2		US+2		29 CFR 1602.31 [State Agencies]. CAUTION: One copy of each different test (different in terms of either questions or administrative procedures) should be retained for the period indicated.	

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3.3.028	85	Aptitude and Skills Tests (Test Papers) Aptitude and skills test papers of job applicants or of current personnel taking a test to qualify for promotion or transfer.	2		2		29 CFR 1602.31 [State Agencies].		
3.3.029	86	Aptitude and Skills Tests (Validation Records) Records of the validation of aptitude and skills tests.	AC+2		AC+2		AC = As long as the test is used by an agency. 29 CFR 1602.31 [State Agencies].		
3.3.030	87	Training Administration Records Instructional materials and other records associated with in-house training of agency personnel on personnel policies and procedures and other policies and procedures that govern an agency's programs, services, or projects.	US+2		US+2		CAUTION: Does not include hazardous material training records. SEE item number 5.4.007.		
3.3.031	88	EEO Reports and Supporting Documentation Includes documentation used to complete EEO reports.	3		3		29 CFR 1602.32, 1602.39, 1602.48, 1602.41, and 1602.50		

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3.4.008	89	Section 3.4 – Time and Leave Sick Leave Pool Documentation Requests submitted, approvals, number of hours transferred in and out, etc.	FE+3		FE+3				
4.2.005	90	Category 4 – Fiscal Records Section 4.2 – Documents of Original Entry Purchase Vouchers Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE+3		FE+3				
4.5.002	91	Section 4.5 - Reports 4.5.002 Internal Fiscal Management Reports Includes agency monthly budget reports.	FE+3		FE+3				

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4.5.003	92	4.5.003 Annual Financial Reports Required by the General Appropriations Act (100 Day Report).	AC+6	AC+6	AC = September 1 of odd-numbered calendar years. CAUTION: If an agency does not produce a biennial or annual narrative report as described in item number 1.1.066, then these annual financial reports must be marked with Archival Code A. The archival requirement, when a biennial or annual narrative report is not produced, is met by sending the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission.		
4.5.006	93	Annual Operating Budgets Required by the General Appropriations Act.	FE+3	FE+3			
4.5.007	94	USAS Reports – Daily	AC	AC	AC = Receipt and reconciliation of monthly report.		
4.5.008	95	USAS Reports – Monthly	AC	AC	AC = Receipt and reconciliation of annual report.		

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4.5.009	96	USAS Reports – Annual	FE+3		FE+3				
		Section 4.7 – Other Fiscal							
4.7.012	97	Signature Authorizations Signature cards or similar records establishing authority of an agency employee to initiate or authorize financial transactions on behalf of an agency.	US+ FE+ 3		US+ FE+ 3				
5.1.001	98	Category 5: Support Services Records Section 5.1 - General 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, inspection reports, and correspondence.	AC+4		AC+4		AC = Expiration or termination of the instrument according to its terms. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs.		1

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5.1.004	99	Mail and Telecommunications Listings Any mailing address, telephone or fax number, or e-mail address records maintained by an agency on its employees or on entities or persons it serves.	US		US			
5.1.007	100	Requisitions for In-Agency/Inter-Agency Copy/Printing Service Includes word processing and data processing.	AV		AV			
5.2.008	101	Section 5.2 – Facility Management Equipment History File; Equipment Service Agreements Agreements or contracts between the agency and equipment vendor to provide maintenance service for equipment. Includes requests for installation, moves, service, etc.; and service/repair logbooks, etc.	LA+3		LA+3			1

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5.2.009	102	Equipment Inventory Detail Report Forms Updates agency portion of the inventory listing and adds, changes, transfers, or deletes items from inventory.	FE+3		FE+3				
5.3.007	103	Section 5.3 - Purchasing Bid Documentation Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, accepted and rejected bids, and bid tabulation/evaluations.	FE + 3		FE + 3		CAUTION: If a formal written contract is the result of a successful bid or request for proposal, the successful bid or request for proposal and its supporting documentation must be retained for the same period as the contract. SEE item number 5.1.001 and 5.2.028.		1
5.3.008	104	Purchasing Logs Log, register, etc., providing a record of purchase orders issued, orders received, and similar data on procurement status.	FE+3		FE+3				
5.3.009	105	Requests for Information Requests for information preliminary to the procurement of goods or services by direct purchase or bid.	AC		AC		AC = Date of direct purchase, issuance of request for bids, or decision not to proceed with the procurement, as applicable.		1

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5.4.001	106	Section 5.4 – Risk Management Accident Reports and Associated Documentation Accident or occupational disease reports (by supervisors and employees) and other associated reports required to be submitted to the Texas Department of Insurance or its predecessors or maintained internally on accident frequency.	CE+5		CE+5	29 CFR 1904.33. The Texas Department of Insurance retains copies of the reports submitted to it for 50 years.		
5.4.013	107	Disaster Preparedness and Recovery Plans	US		US			
5.6.004	108	Section 5.6 - Vehicles License and Driving Record Checks	AC		AC	AC = Until superseded or until termination of employment.		
	109	Dispute Case Files OMB-02 Form	AC+15		AC+15	AC = Three months of inactivity. The electronic version will be retained AC + 15.		1

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