

August 22, 2023



Philip Lena
Financial Analyst
Texas Department of Banking
2601 N. Lamar Blvd., 3rd Floor
Austin, TX 78705

Dear Mr. Lena,

Amendment 2 of the 9th recertification of your agency's records retention schedule is approved for use as of **8/18/2023** 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:

Erica Wilson-Lang
ewilson@tsl.texas.gov
(512) 463-5448

Sincerely,

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

Craig Kelso
Director and State Records Administrator

cc: Agency head

Lorenzo de Zavala
State Archives and
Library Building

1201 Brazos Street
Austin, Texas
78701

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78711-2927

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TSLAC

Preserving yesterday
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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 451
Agency Name Texas Department of Banking

(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) Philip Lena
Date May 23, 2023

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 Mery
Date 8-18-23

Cert/Recert No. 9 Amendment No. 2

CAUTION

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

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

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





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SLR 105
Rev. 2017-07

Retention Codes (field 7)

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					Years	Months	Days				
199-04-07	3.4.004	Overtime Authorizations			2						
*199-05-03	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, pre-employment drug screening test results, polygraph examination results, and all other records that document the selection process.	AC	2			AC = Date of the making of the record or the personnel action involved, whichever occurs later.		CAUTION: Does not include criminal history checks. SEE item number 3.1.026.	29 CFR 1602.31.
199-10-31	3.1.011	Employee Insurance Records	Agency copies of information relating to the selection by employees of life, disability, health, and other types of insurance offered by the State of Texas to its employees.	AC				AC = Until superseded or termination of employment		CAUTION: Document's that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item number 3.2.001.	
199-10-32	5.6.004	License and Driving Records Checks		AC				AC = Until superseded or until termination of employment.			



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199-13-02	3.1.029	Employment Eligibility, Documentation or Verification of	Federal reporting form (INS I-9).	AC	1			AC = Termination of employment.		CAUTION: Federal regulation requires that INS I-9 forms be retained for 3 years from date of hire or 1 year after separation of the employee, which ever later. Agencies should make certain that the INS I-9 forms for employees who terminate from an agency less than 3 years date of hire are kept for the 3 years retention period.	
199-13-03	1.2.003	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=Discontinuance of use of form.			
199-14-05	5.4.012	Security Access Records	Records relating to the issuance of keys, identification cards, building passes, passwords, signed statements or similar instruments of access to agency or state facilities, equipment or automated systems.	AC	2			AC = Until superseded, date of expiration, or date of termination, whichever sooner.			
199-15-04	3.1.012	Employment Opportunity Announcements	Internal or external announcements or advertisements of job openings, promotions, training programs, or opportunities for overtime.	AC	3			AC = Close of job postings.		NOTE: Agency policy to retain longer than TSLAC minimum.	



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199-15-13	3.1.006	Employee Counseling Records	Notes, memoranda, or reports relating to the counseling of an employee for work-related, personal, or substance abuse problems. Usually maintained at the supervisory level except in those agencies with counseling staff.	AC	3			AC = Termination of employment.		NOTE: agency policy to retain longer than TSLAC minimum.	
199-15-39A	1.1.070	Agency Rules, Policies, and Procedures – Final	Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or to those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern and agencies programs, services, or projects.	AC	3			AC=Completion or termination of program, rules, policies, or procedures.	R	SEE ALSO Agency Rules, Policies and Procedures – Working Files, 1.1.071.	
199-15-39B	1.1.071	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 and agencies programs, services, or projects.	AC	3			AC = Completion or termination of program, rules, policies, or procedures.	R	SEE ALSO Record Series Item Number 1.1.070.	
199-16-05	3.2.010	Human Resources Information System (HRIS) Reports	Includes supporting documentation.	AC	4			AC = Reporting period.			



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199-16-07	3.2.005	W-4 Forms	Employer's copy of "Employees Withholding Exemption Certificate."	AC	4			AC = Until superseded, obsolete, or upon separation of the employee.			
199-16-26	3.4	Timecards and Timesheets		AC	4			AC = After leaving employment.		Includes 3.4.006 and 3.4.007 and time off and sick leave requests. NOTE: Agency policy to retain longer than TSLAC minimum.	
199-16-40	3.1.023	Position/Job Descriptions	Job descriptions, including all associated task or skill statements, for positions in an agency.	AC	4			AC = Until superseded or travel and related.			



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199-17-08	1.3.001	The State Publications	One Texas State Records Retention schedule, except a publication that is subject to 8 different retention period in this schedule. For example, a meeting agenda (see item number 1.1.058) also meets the definition, but it must be retained permanently; item numbers 1.1.004, 1.1.055, 1.1.066, 1.1.068, and 4.5.003, which also made the definition, are closely associated with the appropriations process and must be retained AC+ 6.	AC	5			AC = Until superseded or obsolete.		NOTE: Agency policy to retain longer than TSLAC minimum. 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).	



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199-17-09	3.1.020	Personal 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 the record series, any part of this series is used to document and support personnel disciplinary action under item number 3.1.021, all documentation from the series used to support disciplinary action must be retained for the minimum retention period described by item number 3.1.021.	
199-17-10	3.1	Personnel Information	Evaluations Commendations, Oath of Office, Correspondence, Conflict of Interest, Disclosure, outside Employment, or Business Request, New Employee Checklist.	AC	5			AC = Termination of employment.			



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199-17-05	3.1.021	Personnel Disciplinary Action Documentation	Disciplinary actions are those actions which may affect pay, status, or tenure. They are opposed to discipline an employee this conduct is harmful to the best interests of the state, the agency, or the employee workforce; 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. They also be used to document evidence of employee self-improvement efforts, as well as favorable and unfavorable communication.	AC	5			AC=Termination of employment.			
199-10-06	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 agencies legislation or see Subchapter F, Chapter 411, Government Code for appropriate retention and use of this information.	



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199-17-11	3.2.009	State Deferred Compensation Records		AC	5			AC = All accounts with a vendor or vendors for the individual participant have been closed.		For instructions regarding the determination of the closure of accounts and for additional information regarding the retention. See the most current edition of the "Benefits Coordinator Reference Manual" issued by the Employees Retirement System of Texas. Deferred Compensation Plan Memo #20, Texas State Comptroller (8/14/89).	
199-17-12	3.1.018	Grievance Records	Records relating to the review of employee grievances against personnel policies, working conditions, etc.	AC	5			AC = Final decision on the grievance.		NOTE: Agency policy to retain longer than TSLAC minimum. CAUTION: Does not include formal complaints filed by an agency employee with the Equal Opportunity Office (EEO) of the US Department Of Labor. SEE Item Number 1.1.048.	
199-80-17	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 Open Public Information Act, Government Code 552.024.	US						See item number 3.3.011.	



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199-17-20	3.1.002	Application 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.			
199-11-01	3.3.011	Former Employee Verification Records	Minimum information needed to verify employment, includes name, Social Security number, exact dates of employment, last known address and most recent public access option form.	AC	75			AC = Termination of employment.		SEE item number 3.1.038.	
199-82-03	3.3.015	Position/Job Classification Review File	Records relating to review and monitoring of job classifications within an agency.	US	3						
199-43-15	5.4.001	Accident Reports and Associated Documentation	Accident or occupational disease reports (by supervisors employees) in other associated reports required to be submitted to the Texas Department Of Insurance or its predecessors or maintained internally on accident frequency.	CE	5					The Texas Department Of Insurance retains copies of the reports submitted to it for 50 years.	
199-43-16	5.4.007	Hazardous Materials Training Records	Records of training given employees in an agency hazard communications program.	CE	5						
199-44-18	5.4.009	Workplace Chemical Lists			30						
199-50-19	5.2.020	Supply Usage Records		FE	1						
199-52-04	3.4.002	Leave Status Reports	Cumulative report is issued each pay cycle and provides employee leave status information for each position.	AC	4			AC=After pay cycle closed.			



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199-52-05	4.1.005	Inventory and Other Cost Files	Production, job, labor, quotes, pricing, specifications, etc.	FE	3						
*199-52-20	3.1.001	Applications for Employment - Not Hired	Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.	AC	2			AC = Date of the making of the record or the personnel action involved, whichever occurs later.		Associated with 3.1.014 Employment selection records.	29 CFR 1602.31.
199-52-21	5.2.014	Inventory	Annual Physical Property, equipment, supply verification.	FE	3						
199-52-22	3.3.031	EEO Reports and Supporting Documentation	Includes documentation used to complete EEO reports.	FE	3						
199-52-25	3.4.008	Sick Leave Pool Documentation	Requests submitted, approvals, number of hours transferred in and out, etc.	FE	3						
199-54-27	3.3.001	Recruitment/Workforce Diversity Plan	Plans for both regular employees and apprenticeship programs.	FE	5						
199-04-28	3.1.019	Performance Appraisals	(Covered under Chapter 5, PP&PM).		2						
199-80-29	5.1.004	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							
199-80-30	5.4.013	Disaster Preparedness and Recovery Plans		US							
199-80-33	1.2.004	Forms Inventory	Any periodic listing of all forms used internally or externally by an agency.	US							



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199-80-34	5.1.004	Mail and Telecommunication Listings	Any mailing address, telephone or fax number, or email address records maintained by an agency on its employees or on entities or persons it serves.	US						(Quarterly Bank Report, Banks, Trust, Corporate, Act, Etc.) Are	
199-80-35	5.1.004	Mail and Telecommunication Listings	Any mailing address, telephone or fax number, or email address records maintained by an agency on its employees or on entities or persons it serves.	US						Employee Mailing List	
199-80-36	5.6.009	Parking Permits or Assignments		US							
199-81-37	3.3.004	Benefit Plans	Employee benefit plans such as pension; life, health, and disability insurance; deferred compensation; etc., including amendments.	US	1						
199-82-01	3.3.024	Personal 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						
199-82-38	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 is organizational structure, position vacancies, analysis of turnover rates and seasonality of employment, etc.	US	3						



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299-13-02	1.1.026	Texas Register Submissions	Copies of all propose, withdrawn, emergency, and adopted rules; open meeting notices; or any other documents required by law to be submitted to the Texas Register.	AC	1			AC = Data publication in the Texas Register.			
299-16-10	1.1.027	Proposed Legislation	Drafts of propose legislation and related analysis and correspondence.	AC				AC = Purpose of record has been to fill.			
299-18-03	1.1.020	Public Information Requests – Not Exempted	Includes all correspondence and documentation relating to requests for records that are furnished to the public under Public Information Act (Chapter 552, Government Code).	AC	1			AC = Date request for filled.			
299-20-01	1.1.073	Administrative Hearings	Transcripts and final decisions of hearings conducted as part of the regulatory process, and hearings on propose rules and changes. The records may be maintained with related information including meeting notices, proofs of publication, and meeting minutes. Includes contested case hearings records	AC	3			AC = Last action and all statute of limitations met.	R		
299-20-05	1.1.021	Public Information Requests – Exempted	Includes all correspondence and documentation relating to requests for records that are exempted under the Public Information Act (Chapter 552, Government Code).	AC	2			AC = Date of notification that records are exempt. (SEE agency item number 299-18-03)			



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299-20-06	1.1.048	Litigation Files	Records created by or on behalf of an agency in anticipation of or in the education of a lawsuit.	AC	3			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. All statute of limitations must be met before the file is close.	R	NOTE: Agency policy to retain longer than TSLAC minimum. ARCHIVES NOTE: Cases that set legal precedents 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.	
*299-30-07	1.1.014	Legal Opinions and Advice	From agency legal counsel or the Attorney General, including any requests eliciting the opinions.	US	3				E	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. Archival review code removed subsequent to appraisal by the Archives and Information Services Division, TSLAC, 09/2020	
299-30-08	1.3.002	Publication Development Files	Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside of the agency.	AC				AC = Purpose of record has been fulfilled.	R		



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					Years	Months	Days				
299-03-09	1.1.063	Staff Meeting Minutes and Notes	Minutes or notes, and supporting documentation, taken at internal agency staff meetings.	1							
*299-36-11	1.1.007	Legal Correspondence	Attorney & Legal Chronological Reading file.	AC	3			AC = After event finalized	E	Archival review code removed subsequent to appraisal by the Archives and Information Services Division, TSLAC, 09/2020	
299-30-12		Suspicious Activity Reports (SARS)	Filed through FinCEN's BSA E-filing system	AC	5			AC = After event finalized.			
299-70-12	--	Banking Commission Opinions Issued	Formal Legal Opinions an Agency Opinions from Agency Legal Counsel.	PM					R		
299-04-02	1.1.072	Public Information Reports	Reports made by the office of the Atty. Gen. on agencies Public Information Act activities.	2							



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					Years	Months	Days				
299-70-13	1.1.058	Meeting Agenda and Minutes	Official agenda and minutes of state boards, committees, commissions, and councils that conduct open meetings as required by Government Code, Chapter 551.	PM					A	ARCHIVES NOTE: Agency retains permanent record copy. The archival requirement will be met by sending a copy to be Archives and Information Services Division, Texas State Library and Archives Commission. NOTE: Send Appropriate Copies to the Legislative Reference Library, Gov.'s Office, as well as to TESLAC. 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 biannual Appropriations Act, are administered by another state agency. These records and all other related to the functions of any of these dependent entities must be included in the records retention schedule of the administrating agency.	
399-15-01	--	Conservator/Supervisor Files	By bank.	AC	25			AC = No longer needed due to pain closure or improvement.			
399-18-03	--	Examination Workpapers.	Line sheets, etc.	AC	6			AC = after examination closed US Code, Title 18.			



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399-84-04	--	Trust/Private Bank Liquidation Files.		AC	7			AC = After company liquidated.			
*399-20-06	1.1.007	Regulatory Correspondence	(Bank, Trust, Electronic Data Processing, Bank Holding Co.) Includes general and administrative types, Publisher's State/Rpt of Condition, and Assessments	AC	15			AC = Date of event	E	Archival review code removed subsequent to appraisal by the Archives and Information Services Division, TSLAC, 05/2021	
399-85-06	--	Bank, Trust, Bank Holding Company, and Electronic Data Processing Exam Reports, Workpapers and Regulatory Correspondence		AC	50			AC = After date of report or correspondence.	R	Note: For all failed banks and banks that did not fail, but received a composite rating of 5 at one time.	
399-85-05	--	Bank, Trust, Bank Holding Companies, and Electronic Data Processing Exam Reports, Trust Call Reports – OPEN BANKS		AC	25			AC = After date of report.			
399-42-07	--	Management Information Systems (MIS) Liquidation Reports, Close Account Notification System (CANS) Electronic Data		CE	3						
399-52-08	4.2	Orders for Texas Finance Codes, Etc.		FE	3						



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499-86-01	1.2.010	Records Disposition Logs	Logs or similar records listing records destroyed or transferred to the Archives and Information Services Division, Texas State Library and Archives Commission, showing record series title, dates of records, and date destroyed or transferred.	AC	10						
499-10-08	1.2.013	Records Control Locators Aids	Includes indexes, card files, shelf lists, registers, guides, etc.	AC				AC = When control aid is updated, revise, or no longer needed.		CAUTION: These records must carry the same retention period and archival code of the records they support.	
499-13-02	3.1	Training Requests		AC	1			AC = New Individual Training Profiles (ITP's) Received.			
499-14-04	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.	AC	2			AC = Date of authorization for destruction, permanent transfer from storage, or transferred to the Archives and Information Services Division, Texas State Library and Archives Commission, by the agency records management officer.			
499-17-05	3.1.027	Training and Educational Achievement Records (Individual)	Certificates of completion, transcripts, test scores, or similar records documenting the training, testing, or continuing education achievements of an employee.	AC	5			AC = Termination of employment.			



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499-15-03	1.1.006	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 = 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.	
499-52-06	1.2.008	Request for Authority to Dispose of State Records (RMD 102)	Agency copy.	FE	3					Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission.	
499-80-07	1.2.011	Records Center Storage Approval Forms (RMD 106)	Agency copy.	US							
499-80-09	1.2.012	Records Inventory Worksheets		US							
499-80-10	1.2.005	Records Retention Schedule (SLR 105)	Agency copy. Formally RMD 105. Includes documentation of certification and approval – forms SLR 105C (formerly RMD 105C), and/or other forms designated by the State Records Administrator.	US						Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission.	
499-81-11	1.1.043	Training Materials	Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US	1						
499-81-12	1.2.014	Records Management Plans	Records management plans and similar records that establish the policies and procedures under which records and information are managed in an agency.	US	1						
599-87-01	3.2.002	Employee Earnings Records			4						



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599-16-01	3.2.001	Employee Deduction Authorizations	Documentation used to start, modified, or stop all voluntary or required deductions from payroll, including garnishment or other court-ordered attachments.	AC	4			AC = After termination of employee or after amendment, expiration, or termination of authorization, which ever sooner.			
599-16-02	3.2.003	Federal Tax Records	Includes 1099s, W-2, FICA, and other tax records.	AC	4			AC = Tax due date, date the claim is filed, or date tax is paid whichever is later.			
599-16-03	5.1.001	Contracts and Leases	Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence.	AC	7			AC = Expiration or termination of the instrument according to its terms.			
599-16-05	3.2	Payroll Reports	Texas Workforce Commission (TWC) Employers Quarterly Wage Report Retirement Contribution Reconciliation Report, Federal Tax/Withholding & Social Security Report, Payroll Ledgers.	AC	4			AC = Expiration or payroll reporting periods.			
599-16-06	3.2	Payroll Reports	Insurance Report	AC	4			AC = Expiration of payroll reporting periods.			
599-16-07	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 with the terms of a contract with the agency.	AC	7			AC = Expiration or termination of the bond according to its terms.		CAUTION: Does not include construction or architectural surety bonds.	



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599-17-08	3.2.007	Unemployment Compensation Records		AC	5			AC = Claim filed.			
599-18-09	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.		CAUTION: If an agency does not produce a biannual 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 biannual or annual narrative report is not produce, is met by sending required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission.	
599-19-11	5.2.002	Building Construction Project Files	Planning, design and construction record; accepted and rejected bids; correspondence; etc.	AC	10			AC = Completion of project.	R	SEE ALSO item number 5.2.003.	
599-30-12	5.5.002	Long-Distance Telephone Logs	Long-distance logs created by agencies for internal documentation purposes. Includes any similar logs created for long-distance facsimile or electronic transmissions.	AC				AC = Purpose of record has been prefilled.			
599-30-13	5.1.007	Requisitions for in-Agency or Inter-Agency Copy/Printing Service	Includes word processing and data processing.	AC				AC = Purpose of record has been prefilled.			



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					Years	Months	Days				
599-18-10	1.1.004	Legislative Appropriation Requests	Including any supporting documentation created and/or used to justify and support legislative appropriations request by an agency. (Includes biannual budget, supporting documentation, appropriation work papers, Automated Budget and Evaluation System of Texas (ABEST) Quarter Performance Measure Reports, and Uniform Statewide Accounting System (USAS)/ABEST Qtr. Reconciliation's).	AC	6			AC = September 1 of odd-numbered calendar years.	A	ARCHIVES NOTE: The archival requirement is met by sending required copies of the requests to the Texas State Publications Depository Program, Texas State Library and Archives Commission. Only Copies of Supporting Documentation Submitted to the Legislative Budget Board Are Archival.	
599-52-08a	4.2.005	Purchase Vouchers	Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc. Associated with a contract executed, renewed, or amended on or after September 1, 2015.	AC	7			AC = Expiration or termination of the instrument according to its terms.		SEE related item 5.1.001 Contracts and Leases.	Government Code, 441.1855
599-52-08b	4.2.005	Purchase Vouchers	Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc. Associated with a contract executed, renewed, or amended on or before August 31, 2015.	AC	4			AC = Expiration or termination of the instrument according to its terms.		SEE related item 5.1.001 Contracts and Leases.	Government Code, 441.1855
599-52-11	4.7.011	Texas Facilities Commission Statements (TSC)	Charge or bill statements received by agencies from the TBPC for services provided.	FE	3						
599-52-14	4.1.001	Accounts Payable Information	Includes Texas Facilities Commission Statements.	FE	3						



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599-52-15	4.4.003	Accounts Payable Ledgers	Disbursements journal, Credit Card Account - employee contracts, monthly statements.	FE	10						
599-52-16	4.4.002	Accounts Receivable Ledgers	(Revenue Journal, Remittance Listing)	FE	7						
599-52-17	4.4.004	Employee Savings Bond Ledgers		FE	3						
599-52-18	4.5.006	Annual Operating Budgets	Required by the General Appropriations Act.	FE	3						
599-52-20	4.2.007	Expenditure Vouchers	Travel, payroll, etc.	FE	10						
599-52-21	4.6.002	Reconciliations	Including bank reconciliations	FE	3						
599-52-22	4.1.003	Canceled Checks/Stubs/Warrants/Drafts	(Includes Warrant Register)	FE	3						
599-52-23	5.2.007	Damage Reports	Reports of damage to state property.	FE	3						
599-52-24	4.2.001	Cash Deposit Vouchers	Cash deposit slips. (Cash and lockbox)	FE	3						
599-52-25	4.4.001	General and Subsidiary Ledgers		FE	3						
599-52-26	4.2.006	General Journal Vouchers		FE	3						
599-52-27	4.5.002	Internal Fiscal Management Reports	Includes agency monthly budget reports.	FE	3						
599-52-28	4.5.001	Worksheets for Preparing Fiscal Reports		FE	3						
599-52-29	4.2.007	Expenditure Vouchers	Travel Advance -- (Workpapers and reconciliations)	FE	10						
599-52-31	5.5.001	Billing Detail - Telecommunications (Other than TEX-AN)	In addition to summary detail, includes any accompanying detailed listing of long distance calls.	FE	3						



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599-52-30	5.3.007	Bid Documentation	Includes bid requisitions/authorizations, invitations to bid or propose, bid specifications, accepted bids, and bid tabulation/evaluations.	AC	7			AC = Date of notification.		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 is supporting documentation must be retained for the same period as the contract. SEE item number 5.1.001.	
599-52-30a	5.3.007	Bid Documentation	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			AC = Date of notification of denial or date of withdrawal, as applicable.			
599-55-31	4.2.007	Expenditure Vouchers (Travel and Payable)		FE	10						
599-60-32a	5.2.003	Building Plans and Specifications - State Owned	Includes architectural and engineering drawings, profiles, and blueprints.	LA	1			AC = Termination or cancellation of lease.	R	SEE ALSO item number 5.2.002. ARCHIVES NOTE: Archival review designation is for state-owned buildings only.	
599-60-32b	5.2.003	Building Plans and Specifications -Leased	Includes architectural and engineering drawings, profiles, and blueprints.	AC	2			AC = Termination or cancellation of lease.			
599-61-33	4.7.004	Capital Asset Records		LA	3						
599-61-34	5.2.008	Equipment History File; Equipment Service Agreements	Agreements or contracts between the agency and equipment vendor to provide maintenance service for equipment. Includes requests for installation, movies, service, etc.; and service/repair logbooks, etc.	LA	3						



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599-70-35	1.1.066	Reports – Biannual or Annual Agency (Narrative)	Biannual narrative reports to the Gov. and legislature as required by an agency's enabling statutes, including annual narrative reports if they are required by statute.	PM					A	NOTE: Agency policy to retain longer than TESLAC minimum. ARCHIVES NOTE: The archival requirement is met by sending required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission.	
599-80-36	3.2.008	Direct Deposit Application/Authorizations		US							
599-81-37	3.3.004	Benefit Plans	Text Flex – Employee benefit plans such as pension; life, health, and disability insurance; deferred compensation; etc., including amendments.	US	1						
599-82-38	4.7.009	Fixed Asset Sequential Number Logs		US	3						
699-30-02	--	Corporate Activities, Opinions, Debentures, Other Regulatory Notices		AC				AC=Purpose of record has been fulfilled.			
699-30-03	--	Bidders Lists - Banks and Savings & Loan		AC				AC=Purpose of record has been fulfilled.			
699-41-04	--	Registrations (Non-Branch) Loan Production offices (LPO's), Automated Teller Machines (ATM's), Rep offices, 902's etc.		CE	2						



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699-41-05	--	Bidders Packets	Banks and Savings & Loan, Financial Information of Bidders.	CE	2						
*699-42-06		Applications (all types)	Bank, Trust, and Electronic Data Processing	CE	3				E	Archival review code removed subsequent to appraisal by the Archives and Information Services Division, TSLAC, 05/2021	
699-42-06a		Resolutions/Certified Surplus Forms	Corporate activities permanent file	PM							
699-50-07	1.1.008	Correspondence – General	Non--administrative incoming/outgoing and internal correspondence, in any media, pertaining to or arising from the routine operations of the policies, programs, services, or projects of an agency.		2					SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.	
699-50-07a	1.1.008	Correspondence – General	Corporate activities permanent file	PM						SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.	
699-52-08	1.1.064	Agency Performance Measures Documentation	Any records of an agency needed for the documentation of output, outcome, efficiency, and explanatory measures in agencies 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. For a record series and this schedule if the record series is needed for documentation of agency performance measures.	
699-53-03	1.1.074	Sunset Review Report and Documentation		AC	3			AC = After the subsequent Sunset Review.	R		
699-70-09	--	Bank/Trust Articles of Association		PM					R		
699-70-09a		Bank/Trust Bylaws	Corporate activities permanent file	PM					R		



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					Years	Months	Days				
699-70-10	--	Banking Board Materials, Minutes, Packets		PM					R		
*699-70-11		Approval Letters	Includes any response including approving, denying or not objecting to any application, notice or other filing or any other request for approval by the Department or Commissioner that is processed by Corporate.	CE	25				E	Archival review code removed subsequent to appraisal by the Archives and Information Services Division, TSLAC, 05/2021	
*699-70-11a		Approval Letters	Corporate activites permanent file.	PM					E	Archival review code removed subsequent to appraisal by the Archives and Information Services Division, TSLAC, 05/2021	
799-88-11	--	Currency Exchange (CEX) Fingerprint Cards			50						
799-15-12	--	Special Audits Exams	Workpapers.	AC	3			AC=Exam Completed.			
799-19-09	--	My Service Businesses (USB) OPEN License Files (used to be Sale of Check) (SOC).		AC	10			AC=Date of Event.			
799-19-10	--	Currency Exchange (CEX)	Open	AC	10			AC= Date of event.			
799-19-01A	--	Perpetual Care Cemeteries (PCC) Licensee Files Open		AC	10			AC= Date of event.			
799-19-01B	--	PCC Licensee Files	CLOSED (Seized Funds, Closed Cemeteries)	AC	10			AC=Date the license file closed.			
799-19-02	--	Prepaid Funeral Contract (PFC) Licensee Files Open		AC	10			AC= Date of event.			



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799-19-11	--	MSB Licensee Files Correspondence (used to be Sale of Check (SOC)		AC	10			AC= Date of event.			
799-19-03	--	PFC Licensee Files Closed		AC	10			AC=Date the License File Closed.			
799-19-04	--	MSB Licensee Files Closed (Used to be Sale of Check)(SOC)		AC	10			AC=Date the license file closed.			
799-19-05	--	CEX Licensees Files Closed		AC	10			AC=Date the license file closed.			
799-19-06	--	Perpetual Care Cemetery (PCC) Annual Statements		AC	10			AC= Date of filing.			
799-19-07	--	CEX Exempted -- Licensee Files		AC	10			AC= Date of event.			
799-19-08	--	Prepaid Funeral Contracts (PFC) Annual Reports		AC	10			AC=Date of filing.			
799-50-08	--	Special Audits Management Information System (MIS)		FE	1						
799-52-09	--	PFC Withdrawals		FE	3					Statute Requiring Submission/Processing Repealed, Effective 8/31/93.	
799-52-10	--	Prepaid Guaranty Fund-Statements and Activity		FE	3						
799-19-12	--	Cemetery Brookers		AC	10			AC= Date of event.			
799-19-13	--	Private Child Support Enforcement Agencies		AC	10			AC= Date of event.			



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799-19-14	--	Check Verification Entities		AC	10			AC= Date of event.			
899-04-02	1.1.062	Meetings – Supporting Documentation	Documents submitted to meetings of the state boards, commissions, committees, and councils including exhibit items, documentation for agenda items, etc. Includes documents sent in advance of meetings for breeding purposes, some of which may not be submitted at an actual meeting.		25				A	SEE caution comment at item number 1.1.058.	
899-04-03	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		
899-05-04	1.1.067	Reports and Studies (Non-Fiscal)	Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or other entities.		3				R	ARCHIVES NOTE: For agencies that have had archival appraisal, separate this record series by each type of archival coding, A, R, or E. SEE page ix for more information.	



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					Years	Months	Days				
899-12-05	1.1.060	Meetings, Audio or Videotapes of Open	Open or videotapes of open meetings of state boards, commissions, committees, and councils.	AC	10			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 meeting of governing bodies in lieu of written minutes. The proceedings of all meetings of state boards, committees, commissions, and councils must be reduced writing. SEE caution comment at item number 1.1.058.	
899-12-06	1.1.061	Meeting – Notes	Notes taken during open meetings of state boards, commissions, committees, and councils from which written minutes are prepared.	AC			90	AC = Approval of all minutes by the governing body.		SEE caution comment at item number 1.1.058.	
899-14-01	1.1.059	Meetings, Certified Agendas or Tape Recordings of Closed	Certified agendas or tape recordings of close 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.		SEE caution comment at item number 1.1.058.	
899-18-07	1.1.055	Strategic Plans	Information resources and operational strategic plans prepared in accordance with 2054.095 and 2056.002, Government Code	AC	6			AC = September 1 of odd-numbered calendar years.	A	ARCHIVES NOTE: The archival requirement is met by sending required copies of the plans to the Texas State Publications Depository Program, Texas State Library and Archives Commission.	



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899-30-08	1.1.065	Reports and Studies (Non-Fiscal) – Raw Data	Information or data collected and compiled for the purpose of producing non-fiscal reports.	AC				AC = Purpose of record has been to fill.		CAUTION: Does not include source documentation used for information or data included in or directly related to another record series in this schedule. SEE especially item number 1.1.064.	
999-02-01	2.2.004	Computer Job Schedules and Reports	Schedules or similar records showing computer jobs to be run and other reports by computer operators or programmers of work performed.			3					
999-03-02	1.1.057	Telephone Message Log			1					Record series 5.1.016 deleted and became part of series 1.1.057.	
999-06-15	1.1.007	Executive Correspondence	Executive Chronological Reading File.		20				R	Executive Decision Chronological File Incoming and Outgoing Documents to/from Commissioners.	



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999-88-04	1.1.007	Correspondence-Administrative	Incoming outgoing and Internal correspondence, in any format, pertaining to the formulation, planning, implementation, interpretation, modification, or redefinition of the programs, services, or projects of an agency and the administrative regulations, policies, and procedures that govern them.	50					R	NOTE: Agency policy to retain longer than TSLAC minimum. ARCHIVES NOTE: Only the administrative correspondence of executive staff, board or commission members, division directors and program heads require archival review. Contact the State Archives when these records have met their retention periods. CAUTION: This records series and item number 1.1.008 should be used only for correspondence that is not included in or directly related to another records series in this schedule. For example, a memorandum that documents an appropriations request must be retained for the minimum retention period prescribed by item number 1.1.004; a letter concerning an audit for that prescribed by item number 1.1.002, etc. SEE ALSO item number 1.1.011.	



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999-05-10	1.1.008	Correspondence-General.	Non-administrative incoming/outgoing and internal correspondence, in any media, pertaining to or arising from the routine operations of the polices, programs, services or projects of the agency.	AC	3					NOTE: Agency policy to retain longer than TSLAC minimum. SEE, and item number 1.1.007. SEE ALSO item number 1.1.010.	
999-10-03	1.1.040	Speeches, Papers and Presentations	Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work	AC				AC = End of term in office for terminated of service in state position.	R		



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999-10-05	1.1.057	Transitory Information	Records of temporary usefulness that are not an integral part of a record series of an agency, that are not regularly filed within an agency's record keeping system and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing record series. -- Transitory Records are not essential to the film and statutory obligations or to the documentation of agency functions. Examples: routine messages, internal meeting notices, routine slips, incoming letters or memoranda of transmittal that add nothing of substance to the enclosures; and similar routine information used for communications, but not for the documentation, of a specific agency transaction.	AC				AC = Purpose of record has been fulfilled.		CAUTION: Records management officers should use caution in assigning this record series item number to records of an agency to make certain they are not part of another record series listed in schedule or, for record series unique to an agency, are not part of record series that documents the film of the statutory obligations of the agency or the documentation of its engines. The disposal of transitory information needed not be documented through distraction sign offs (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).	
999-13-06	1.1.053	Registration Logs	Logs or similar records used to register persons appearing before state agencies as required by Chapter 2000 for, Government Code, including quarterly reports filed with the Texas Ethics Commission.	AC	1			AC = Reports filed with the Texas Ethics Commission.			
999-18-04	1.1.068	Reports on Performance Measures	Quarterly and annual reports on agency on its measures submitted to the executive and legislative offices.	AC	6			AC = September 1 of odd-numbered calendar years.			



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999-84-03	1.1.002	Audits	Audits and reviews performed by or on behalf of an agency, including the working papers that support the audit. Also includes audits performed on the agency.	AC	7			AC = Publication or release a final audit findings.		The State Auditor's Office retains any copies of its audits performed on Texas State agencies.	
999-40-07	1.1.013	Calendars, Appointment and Itinerary Records	Calendars, appointment books or programs and scheduling or itinerary records, purchase this date funds or maintained by staff during business hours that document appointments, itineraries and other activities of agency officials or employees.	CE	1				R	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the State Archives when the records have met their retention periods. CAUTION: a record of this type purchase with personal funds, but use bistrate official or employee to document his or her work activities may be a state records and subject to this retention.. See Open Records Decision 635 issued in December 1995 by the Atty. Gen.	
999-50-08	1.1.063	Staff Meeting Minutes and Notes	Minutes or notes, and supporting documentation, taken at internal agency staff meetings.	FE	1						



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					Years	Months	Days				
*999-51-09	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.	PM							
999-70-11	1.1	Testimony - Legislative		PM							
999-80-12	1.1.023	Organization Charts		US					A		
999-82-13	1.1.010	Directives	Any documented officially initiates, resumes, or menstrual office procedures.	US	3					NOTE: Agency policy to retain longer than TSLAC minimum.	
999-82-14	1.1.011	Executive Orders	Any document that initiate, send, or amend the regulations, policies, or procedures that govern subprogram, services, or projects of an agency.	US	3				A		
999-82-15	1.1.011	Commissioner's Orders	Enforcement actions against a regulated entity	PM					A		