



State and Local
Records Management

P.O. Box 12927
Austin, Texas
78711.2927

4400 Shoal Creek Blvd.
Austin, Texas
78756

www.tsl.texas.gov

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*Preserving yesterday,
informing today,
inspiring tomorrow.*

August 10, 2015

Ms. Shari Shivers
Assistant Commissioner & General Counsel
Texas Credit Union Department
914 E. Anderson Ln.
Austin, TX 78752-1699

RE: Agency records retention schedule approved for use

Dear Ms. Shivers:

Your agency's records retention schedule is approved for use as of May 27, 2016. 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 Please ensure all old copies of the schedule are superseded with this recertified copy.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 **May 2021**.

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, Bonnie Zuber, at 512-463-0188 or bzuber@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, Harold E. Feeney

469 BZ



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 469
Agency Name Credit Union Department

- (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 Shari Shivers

Name (Print or type) Shari Shivers

Date 9/21/15

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 Donna Osborne
Name (Print or type) Donna Osborne
Date 5/27/16

Cert/Recert No. 9 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

1. Agency Code: 469		2. Agency Name: Credit Union Department										
3. Agency Item	4. Record Series Item No.	5. Record Series Title	6. Description	7. Retention Period			8. Event Based	9. Event Trigger	10. Archival	11. Remarks	12. Legal Citations	13. N, C, S, O
				Years	Months	Days						
1	1.1	Commission Member Appointment Files		10			US					
2	1.1.002	Audits	Audits and reviews performed by on or behalf of an agency, including the working papers that support the audit. Also includes audits performed on the agency.	7			AC	AC = Publication or release of final audit findings.		The State Auditor's Office retains any copies of its audits performed on Texas state agencies.		
3	1.1.004	Legislative Appropriations Request	Including any supporting documentation created and/or used to justify and support legislative appropriations request by an agency.	6			AC	AC = September 1 of odd numbered calendar years.	A	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.		

Event Triggers (Field 9)				Archival Codes (Field 10)	
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	US – Until Superseded	A/I – Transfer to State/University Archivist	R/O – Review by State/University Archivist
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4	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.	2			AC	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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<p><i>Event Triggers (Field 9)</i></p> <p>AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value</p> <p>CE – Calendar Year End FE – Fiscal Year End</p> <p>LA – Life of Asset PM – Permanent</p> <p>US – Until Superseded</p>	<p><i>Archival Codes (Field 10)</i></p> <p>A/I – Transfer to State/University Archivist R/O – Review by State/University Archivist</p>
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STATE OF TEXAS Records Retention Schedule

5	1.1.007	Correspondence- Adminstrative	Incoming outgoing and Internal correspondence, in any format, pertaining to the formulation, planning, implementation, interpretation, modification, or redefinition of the programs, services, or projects of an agency and the administrative regulations, policies, and procedures that govern them.	4					R	<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 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.</p>		
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<p>Event Triggers (Field 9)</p> <p>AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value CE – Calendar Year End FE – Fiscal Year End LA – Life of Asset US – Until Superseded PM – Permanent</p>	<p>Archival Codes (Field 10)</p> <p>A/I – Transfer to State/University Archivist R/O – Review by State/University Archivist</p>
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Records Retention Schedule

6	1.1.008	Correspondence-General	Non-administrative incoming/outgoing and internal correspondence, in any media, pertaining to or arising from the routine operations of the polices, programs, services or projects of the agency.	2					SEE, it to item number 1.1.007.	
7	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.	1		CE		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 bistate 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.	

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8	1.1.014	Legal Opinions and Advice	From agency legal counsel or the Atty. Gen., including any requests eliciting the opinions.				AV		R	CAUTION: Does not include legal opinions or advice rendered on a matter in litigation or with regard to pending litigation. SEE item number 1.1.048.		
9	1.1	Commissioner Opinions/Interpretations					AV			Some portions of the records may be open and some closed.		
10	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).	1			AC	AC=Date request fulfilled.				
11	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).	2			AC	AC = Date of notification that records are exempt.				
12	1.1.023	Organization Charts					US		A			
13	1.1.026	Texas Register Submissions	Copies of all proposed, withdrawn, emergency, and adopted rules; open meeting notices; or any other documents required by law to be submitted to the Texas Register.	1			AC	AC = Date of publication in the Texas Register.				
14	1.1.027	Proposed Legislation	Drafts of proposed legislation and related correspondence.				AV					

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15	1.1.038	Customer Surveys	Surveys returned by credit unions rating the agency's performance.				AC	AC = Final disposition of summary report.		NOTE: See item number 1.1.067 for summary reports compiled from customer surveys.		
16	1.1.040	Speeches, Papers and Presentations	Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.				AC	AC = End of term in office or termination of service in a state position.	R			
17	1.1.043	Training Materials	Instructional materials developed by an agency for training entities or individuals it regulates or serves.	1			US					
18	1.1.048	Litigation Files	Records created by or on behalf of an agency in anticipation of or in the adjudication of a lawsuit.	1			AC	AC = As applicable, decision of an agency not to file a lawsuit or decision that a lawsuit will not be filed against it on a matter, dismissal of a lawsuit for want of prosecution or on motion of the plaintiff; or final decision of a court (or of a court on appeal, if applicable) in a lawsuit.	R	ARCHIVES NOTE: Cases that set legal 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.		
19	1.1.053	Registration Logs	Logs were similar records used to register persons appearing before state agencies as required by Chapter 2004, Government Code, including quarterly reports filed with the Texas Ethics Commission.				AC	AC = Reports filed with the Texas Ethics Commission.				

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20	1.1.055	Strategic Plans	Information Resources and Operational Strategic Plans Prepared in Accordance with 2054.095 and 2056.002, Government Code.	6			AC	AC = September one of odd-numbered calendar years.	A	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.	
21	1.1.056	ADA (Americans With Disabilities Act) Documentation	Self evaluations and plans documenting compliance with the requirements of the Americans with Disabilities Act.	3							28 CFR 35.105(c).

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22	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 with an agency's recordkeeping system, and that are required only for a limited period 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 notification; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.				AC	AC = Purpose of record has been fulfilled.	CAUTION: Records management officers should use caution in assigning this record series item number to records of an agency to make certain they are not part of another record series listed in this schedule or, for record series unique to an agency, are not part of a record series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information 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).		
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23	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 the Archives and Information Services Division, Texas State Library and Archives Commission. CAUTION: This Record Series and Item Numbers 1.1.059, 1.1.060, 1.1.061 and 1.1.062 Must Be Used for Those State Boards, Committees, Commissions and Councils, Which by Law or by Biannual 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 administrating agency.	
24	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.	2			AC	AC = The date of meeting or completion of pending action involving the meeting, whichever is later.		SEE Caution Comment at Item Number 1.1.058.	Government Code, 551.104(a).

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25	1.1.060	Meetings, Audio or Videotapes of Open	Audio or videotapes of open meetings of state boards, commissions, committees, and councils.			90	AC	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.		
26	1.1.061	Meeting – Notes	Notes taken during open meetings of state boards, commissions, committees, and councils from which written minutes are prepared.			90	AC	AC = Approval of the formal minutes by the governing body.	SEE caution comment at item number 1.1.058.		
27	1.1.062	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 breeding purposes, some of which may not be submitted at an actual meeting.	2					A SEE caution comment at item number 1.1.058.		

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28	1.1.063	Staff Meeting Minutes and Notes	Minutes or notes, and supporting documentation, taken at internal agency staff meetings.	1						
29	1.1.064	Agency Performance Measures Documentation	Any records of an agency needed for the documentation of output, outcome, efficiency, and explanatory measures in an agency's appropriation requests or strategic plan, and for performance measures used to manage the agency.	3			FE			CAUTION: The FE +3 retention period overrides any shorter retention period for a record series and schedule if the record series is needed for documentation of agency performance measures.
30	1.1.065	Reports and Studies (Non--Fiscal) – Raw Data	Information or data collected and compiled for the purpose of prolonging non--fiscal reports.				AV			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.
31	1.1.066	Reports – Biannual or Annual Agency (Narrative)	Biannual narrative reports to the Gov. and legislature are required by an agency's enabling statutes, including annual narrative reports if they are required by statute.	6			AC	AC = September 1 of odd-numbered calendar years.	A	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.

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32	1.1.067	Reports and Studies (Non--Fiscal)	Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3					R	ARCHIVES NOTE: For agencies that have had archival appraisal, separate this record series by each type of archival coding, A, R, or E. SEE page ix for more information.		
33	1.1.068	Reports on Performance Measures	Quarterly and annual reports on agency performance measures submitted to the executive and legislative offices.	6			AC	AC = September 1 of odd-numbered calendar years.				
34	1.1.069	Reports – Activity (Daily Work Reports)	Reports compiled by agency personnel on a daily or other periodic basis pertaining to workload monitoring, task completion times, number of public contacts, and similar activities.	1						CAUTION: SEE item number 1.1.064.		

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35	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 those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern and agencies programs, services, or projects.	3			AC	AC = Completion of termination of program, rules, policies or procedures.	R	SEE ALSO Agency Rules, Policies and Procedures – Working Files, 1.1.071.		
36	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.	3			AC	AC = Completion or termination of program, rules, policies, or procedures.	R	SEE ALSO Record Series Item Number 1.1.070.		
37	1.1.072	Public Information Reports	Reports made to the Office of the Attorney General on an agency's Public Information Act activities.	2								

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38	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 within the Notices, Proofs of Publication, and Meeting Minutes.	15			AC	AC = Last action.	R	Administrative Law Judge Files NOTE: Agency policy to retain longer than TSLAC minimum.		
39	1.1.074	Sunset Review Report and Documentation		3			AC	AC=After the subsequent Sunset Review.	R			
40	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.		
41	1.2.006	Records Transmittal Forms	Agency copy (includes RMD 101, Tx-R-5, 306-58-1, and Agency Storage Forms). Forms indicate records transferred to storage or a transfer of legal custody.	2			AC	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.				

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42	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 records series title, dates of records, and date destroyed or transferred.	10							
43	1.2.011	Records Center Storage Approval Forms (RMD 106)	Agency copy.				US				

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44	1.3.001	State Publications	<p>One copy of each day publication as defined on page xi of the introduction of this schedule, except a publication that is subject to a different retention period in this schedule. For example, a meeting agenda (see item number 1.1.058) also meets the definition, but it must be retained permanently; item numbers 1.1.004, 1.1.055, 1.1.066, 1.1.068, and 4.5.003, which also meet the definition, are closely associated with the appropriations process and must be retained AC + 6.</p>	2			AC	AC = Until superseded or obsolete.	<p>CAUTION: Many state publications must be submitted to the Texas State Publications Depository Program, Texas State Library and Archives Commission, by law (Government Code 441.101 – 441.106). The Texas State Library and Archives Commission will retain a copy of all state publications submitted to it on a continuing basis, subject to periodic evaluation to determine if the publication merits further retention. 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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45	1.3.002	Publications 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.				AV		R		
46	2.1.002	Master Files	Relatively long-live computer files containing organized and consistent sets a complete and accurate electronic records. Examples include, but are not limited to, data tables of relational databases used by applications or computer programs.				AC	AC = 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 record series listed elsewhere.	
47	2.1.007	Software Programs	Automated software applications and operating system files including job control language, program listings/sores code, etc.				AC	AC = Until electronic records are transferred to and made usable in a new software environment or there are no electronic records being retained to meet an approved retention period that require the software to be retrieved and read.		CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.	13 TAC 6.94.

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48	2.1.008	Hardware Documentation	Records documenting operational and maintenance requirements of computer hardware such as operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems.				AC	AC = Until electronic records are transferred to and made usable in a new hardware environment or there are no electronic records being retained to meet an approved retention period that require the hardware to be retrieved and read.	CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.	13 TAC 6.94.
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49	2.1.009	Technical Documentation	Records adequate to specify all technical characteristics necessary for reading or processing of electronic records and their timely, authorize disposition including documentation describing how a system operates and necessary for using the system such as user guides, system or subsystem definitions, system specifications, input and output specifications, and system flowcharts; program descriptions and documentation such as program flowcharts, program maintenance logs, change notices, and other records that document modifications to computer programs; and data documentation necessary to access, retrieved, manipulate, and interpret data in an automated system such as a data element dictionary; file layout, codebooks or table, and other records that explain the meeting, purpose, structure, logical relationships, and origin of the data elements.				AC	AC = Until electronic records are transferred to and made usable in a new hardware or software environment with new documentation or there are no electronic records being retained to meet an approved retention period that require the documentation to be retrieved and read.	CAUTION: software needed for access to electronic records must be retained for the period of time required to access the records.	13 TAC 6.94.
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Event Triggers (Field 9)				Archival Codes (Field 10)	
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50	2.2.010	Data Processing Policies and Procedures	Manuals, guidelines, or similar documents establishing data processing policies and procedures in an agency in such areas as access and security, systems development, data retention and disposition, data ownership, production control, system backup, etc.	3			US		CAUTION: Does not include technical documentation of procedures necessary for reading or processing of electronic records. SEE item number 2.1.009.		
51	2.2.016	Software Registrations, Warranties and License Agreements.		3			LA				
52	3.1	Personnel Information	Evaluations, Commendations, Both of Office, Correspondence, conflict of interest, disclosure, outside employment, or business requests, new employee checklist.	5			AC	AC = Termination of employment.			29 CFR 1602.32(c)
53	3.1.001	Applications for Employment – Not Hired	Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.	2							29 CFR 1602.31 (State Agencies).

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54	3.1.002	Applications for Employment – Hired	Application, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.	5			AC	AC = Termination of employment.			
55	3.1.011	Employment Insurance Records	Agency copies of information relating to the selection by employees of life, disability, health, and other types of insurance offered by the State of Texas to its employees.				AC	AC = Until superseded or termination of employment.	CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item number 3.2.001. SEE item number 3.1.038.		
56	3.1.012	Employment Opportunity Announcements	Internal or external announcements or advertisements of job openings, promotions, training programs, or opportunities for overtime.	2						29 CFR 1602.31 (State Agencies).	
57	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.	2					CAUTION: Does not include criminal history checks, if agency has checks. SEE item number 3.1.026.	29 CFR 1602.31 (State Agencies).	

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58	3.1.018	Grievance Records	Records relating to the review of employee grievances against personnel policies, working conditions, etc.	2			AC	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 US Department Of Labor. SEE Item Number 1.1.048.	
59	3.1.019	Performance Appraisals		2							29 CFR 1620.32 (c).
60	3.1.021	Personnel Disciplinary Action Documentation	Disciplinary actions are those actions which may affect pay, status, or tenure. They are imposed to discipline an employee whose conduct is harmful to the best interests of the state, the agency, or the employee work force, and for failure to improve performance or conduct following imposition of corrective action. May include cause for demotion, suspension, or dismissal, and the reasons for failure to give written notice of resignation. May also be used to document evidence of employee self-improvement efforts, as well as favorable and unfavorable communication.	5			AC	AC = Termination of employment.			

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61	3.1.022	Personnel Information or Action Forms	Forms or similar records used to create or change information concerning the records of an employee including paygrade, position classification, employee number, evaluation date, and termination of employment.	2						29 CFR 1602.31 (State Agencies).
62	3.1.023	Position/Job Descriptions	Job descriptions, including all associated task or skill statements, for positions in an agency.	4		AC	AC = Until superseded or job illuminated.			40 TAC 815.106 (i).
63	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.		
64	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.	5		AC	AC = Termination of employment.			

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65	3.1.029	Employment Eligibility, Documentation or Verification of	Federal reporting form (INS I-9).	1			AC	AC = Termination of employment or 3 years from date of hire which ever later.	CAUTION: Federal regulation requires that INS I-9 forms be retained for 3 years from the 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 the date of hire are kept for the 3 year retention period.	8 CFR 274a.2(b)(2)(i)(A) and (c)(2).
66	3.1.031	Employee Benefits – Other Than Insurance	Agency copies of information relating to the selection of available benefit options other than insurance.	2			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.	
67	3.1.034	Resumes – Unsolicited	Retention period applies if an agency replies to the sender of a resume that it will be kept on file should future job openings occur.				AV		See item number 3.1.014 for resumes, whether solicited or unsolicited, or that are used in any way in the employment selection process.	

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68A	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 position or for the terms of a contract with the agency. Executed, renewed, or amended on or after September 1, 2015.	7			AC	AC = Expiration or termination of the bond according to its terms.	CAUTION: Does not include construction or architectural surety bonds. SEE item number 5.2.028. SEE related item 5.1.001 Contracts and Leases.	Government Code, 441.1855
68B	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 position or for the terms of a contract with the agency. Executed, renewed, or amended on or before August 31, 2015.	4			AC	AC = Expiration or termination of the bond according to its terms.	CAUTION: Does not include construction or architectural surety bonds. SEE item number 5.2.028. SEE related item 5.1.001 Contracts and Leases.	Government Code, 441.1855
69	3.1.038	Public Access Option Form	Form completed and signed by employee or official, or former employee or official, electing to keep home address, home telephone number, Social Security number, and family information open or confidential under the Public Information Act, Government Code §552.024.				US		SEE Item number 3.3.011.	

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70	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.	4			AC	AC = After termination of employee or after amendment, expiration, or termination of authorization, whichever sooner.			
71	3.2.002	Employee Earnings Records (through USPS).		4							40 TAC 815.106 (i).
72	3.2.003	Federal Tax Records	Includes 1099, W-2, FICA, and other tax records.	4			AC	AC = Tax due date, date claim is filed, or date tax is paid whichever is later.			26 CFR 31.6001-1 (e) (2).
73	3.2.005	W-4 Forms	Employer's Copy of "Employee's Withholding Exemption Certificate."	4			AC	AC = Until superseded, obsolete, or upon separation of employee.			26 CFR 31.6001-1(e)(2).
74	3.2.007	Unemployment Compensation Records		5			AC	AC = After termination of employment.			
75	3.2.008	Direct Deposit Applications/Authorizations					US				

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76	3.2.009	State Deferred Compensation Records		5			AC	AC = All accounts with a vendor or vendor words 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.		
77	3.2.010	Human Resources Information System (HRIS) Reports	Includes supporting documentation.	4			AC	AC = Date report verified.			
78	3.3.001	Affirmative Action Plans	Affirmative action plans for both regular employees and apprenticeship programs.	5							
79	3.3.004	Benefit Plans	Employee benefit plans such as pension; life, health, and disability insurance; deferred compensation; etc., including amendments.	1			US		ERS agent of record.	29 CFR 1627.3 (b) (2).	
80	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.	75			AC	AC = Termination of employment.	NOTE: See item number 3.1.038.		

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81	3.3.022	Texas Workforce Commission (TWC) Reports	Reports to the agency from TWC or its predecessor pertaining to employees.	3		FE		Agency Policy to retain longer than TSLAC minimum.	
82	3.3.024	Personnel Policies and Procedures	Any internally distributed manuals, guidelines, or similar records that define agency wide policies or procedures concerning the personnel of an agency.	3		US			
83	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.	3		US			
84	3.3.031	EEO Reports and Supporting Documentation	Includes documentation used to complete EEO reports.	3		FE			29 CFR 1602.32, 1602.39, 1602.41, 1602.48 and 1602.50.
85	3.4.002	Leave Status Report	Cumulative report is issued each pay cycle and provides employee leave status information for each position.	3		FE			
86	3.4.004	Overtime Authorizations		2					
87	3.4.006	Timecards and Timesheets		4					40 TAC 815.106 (i).

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88	3.4.007	Time off and/or Sick Leave Requests		3			FE				
89	3.4.008	Sick Leave Pool Documentation	Requests submitted, approvals, number of hours transferred in and out, etc.	3			FE				
90	4.1.001	Accounts Payable Information		3			FE				
91	4.1.005	Inventory and Other Cost Files	Production, job, labor, quotes, pricing, specifications, etc.	3			FE				
92A	4.2.005	Purchase Vouchers	Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc.	7			AC	AC = Expiration or termination of the instrument according to its terms.	SEE related item 5.1.001 Contracts and Leases.	Government Code, 441.1855	
92B	4.2.005	Purchase Vouchers	Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc.	4			AC	AC = Expiration or termination of the instrument according to its terms.	SEE related item 5.1.001 Contracts and Leases.	Government Code, 441.1855	
93	4.2.007	Expenditure Vouchers	Travel, payroll, etc.	3			FE				
94	4.4.001	General and Subsidiary Ledgers		3			FE				
95	4.4.002	Accounts Receivable Ledgers		3			FE				
96	4.4.003	Accounts Payable Ledgers		3			FE				
97	4.5.001	Worksheets for Preparing Fiscal Reports		3			FE				
98	4.5.002	Internal Fiscal Management Reports	Includes agency monthly budget reports.	3			FE				

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99	4.5.003	Annual Financial Reports	Required by the General Appropriations Act (100 Day Report).	6			AC	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 the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission.	
100	4.5.006	Annual Operating Budgets	Required by the General Appropriations Act.	3			FE				
101	4.5.007	USAS Reports – Daily					AC	AC = Receipt and reconciliation of monthly report			
102	4.5.008	USAS Reports – Monthly					AC	AC = Receipt and reconciliation of annual report.			
103	4.5.009	USAS Reports – Annual		3			FE				
104	4.7.001	Accounting Policies and Procedures Manual		3			US				
105	4.7.002	Bank Statements		3			FE				
106	4.7.004	Capital Asset Records		3			LA				

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107	4.7.007	Detailed Chart of Accounts – (Fixed Asset Sequential Number Logs on "SBA")	One for all accounts in use for a fiscal year.	3			FE				
108	4.7.011	Texas Facilities Commission Statements (TFC)	Charge or bill statements received by agencies from the TFC for services provided.	3			FE				
109	4.7.012	Signature Authorizations	Signature cards or similar records establish authority of an agency employee to initiate or authorize financial transactions on behalf of an agency.	3			AC	AC = US + FE			

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110A	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, successful and unsuccessful 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. Executed, renewed, or amended on or after September 1, 2015.	7			AC	AC = Expiration or termination of the instrument according to its terms.	SEE related item numbers 3.1.035 Performance Bonds, 4.2.005 Purchase Vouchers, and 5.3.007 Bid Documentation.	Government Code, 441.1855	
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110B	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, successful and unsuccessful 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. Executed, renewed, or amended on or before August 31, 2015.	4			AC	AC = Expiration or termination of the instrument according to its terms.	SEE related item numbers 3.1.035 Performance Bonds, 4.2.005 Purchase Vouchers, and 5.3.007 Bid Documentation.	Government Code, 441.1855	
111	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				
112	5.1.005	Postage Records	Records and reports of postage expenses, including postal meter usage.	3			FE				
113	5.2	Building Repair and Work		10			AC	AC=After completion of project.			

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114	5.2.003	Building Plans and Specifications	Includes architectural and engineering drawings, profiles, and blueprints.				LA		R	State-owned. ARCHIVES NOTE: Archival review designation is for state-owned buildings only.	
115A	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. Executed, renewed, or amended on or after September 1, 2015.	7			LA				Government Code, 441.1855
115B	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. Executed, renewed, or amended on or before August 31, 2015.	3			LA				Government Code, 441.1855
116	5.2.009	Equipment Inventory Detail Report Forms (#136)	Updates agency portion of the inventory listing and adds, changes, transfers, or deletes items from the inventory.	3			FE				
117	5.2.014	Inventory – Annual Physical	Property, equipment, supplies verification.	3			FE				

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118	5.3.008	Purchasing Logs (Purchasing Orders Database)	Log, register, etc., providing a record of purchase orders issued, orders received, and similar data on procurement status.	3			FE				
119	5.4.001	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.	5			CE			The Texas Department Of Insurance retains copies of the reports submitted to it for 50 years.	29 CFR 1904.33.
120	5.4.002	Evacuation Plans	Plans for evacuation of agency facilities in cases of emergency.				US				
121	5.4.007	Hazardous Materials Training Records	Records of training given employees in an agency hazard communications program.	5							Texas Health & Safety Code, 502.009 (g).
122	5.4.011	Visitor Control Registers	Logs, registers, or similar records documenting visitors to limited access or restricted areas of agency facilities.	3							
123	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.	2			AC	AC = Until superseded, date of expiration, or date of termination, which ever sooner.			
124	5.4.013	Disaster Preparedness and Recovery Plans					US				

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125	5.5.001	Billing Detail – Telecommunications (Other Than TEX-AN)	In addition to summary detail, includes any accompanying detailed listing of long-distance calls.	3			FE			
126	5.6.004	License and Driving Records Checks					AC	AC = Until superseded or until termination of employment.		
159		Administrative Action Log					US			
160		Bylaws Log		1						
161		Charter Ledger (Monster Book)					PM		In bound volume.	
162		Charter Activity Report		25			FE			
163		Charter Applications, Declined		5			FE			
164M		CU Statement Financial Condition (Call Reports)					PM		Microfilm At State Records Center 91-469-009	
165		Credit Union Charter Log					PM		CUD database	
166		Credit Union Complaint Log		5			FE		CUD database	
167		Credit Union Conversion Papers from Private Insurance to Federal Insurance					PM			
168		Credit Union Files (General)		2			CE			
168E		Credit Union Files (Bylaws, Charter)					PM		Scanned to CD since 2002.	

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168M		Credit Union Files (Bylaws, Charter)				PM			Microfilm at State Records Center. 91-469-010		
169		Credit Union Operating Fees (Invoice and Receipts).		2		FE					
169M		Credit Union Operating Fees (Invoice and Receipts)				PM			Microfilm at State Records Center		
170		Examination Action Log		1							
171		Examiner's Review File and Workpapers			6				Office record in Exam File.		
172		IRS Form 990 returns, schedules and workpapers.		3		AC	AC = Later of due date or date filed.		26 USC 6104(d)(2)		
173		Liquidated & Merged CU Files		2		CE		R	Portions of this material are confidential and portions are open.		
173E		Liquidated & Merged CU Files		20				R	Scanned to CD		
173M		Liquidated & Merged CU Files		20				R	Microfilm at State Records Center. 91-469-011		
174		Suspicious Activity Reports (SAR)			6						
175		Complaint Cards Worksheets			6	AC	AC = Data from Worksheet has been entered in Complaint Database.				
176		Newsletter Renewals				US					

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177		Consumer Complaints Referred to Another Agency.		1			FE				
178		CUSO Files (General)		2			CE				
179		Legal Correspondence	Attorney & Legal Chronological Reading File.	3			AC	AC = After the event finalized.			
180		Credit Union Commissioner Opinions Issued	Legal Opinions and Agency opinions from agency legal counsel.				PM				

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