



October 31, 2016

Mr. Michael Phillips
Chief Information Officer
Public Utility Commission of Texas
1701 N Congress
Austin, TX 78701

Re: Agency records retention schedule amendment approved for use

Dear Mr. Phillips:

Lorenzo de Zavala
State Archives and
Library Building

1201 Brazos Street
Austin, Texas
78701

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

www.tsl.texas.gov

Commission Chairman
Michael C. Waters

Members

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

Director and Librarian
Mark Smith

Assistant State Librarian
Gloria Meraz

Amendment 4 to your agency's 8th recertification of your records retention schedule is approved for use as of Monday, October 31, 2016. Your currently approved records retention schedule and all amendments are available on our website at <https://www.tsl.texas.gov/slrn/state/schedules.html>. Please maintain this amendment with your currently approved schedule so that it can be easily referenced.

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

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

Thank you again for your commitment to complying with state records management laws and regulations. If we can provide any assistance to you, please contact the Government Information Analyst assigned to your agency, Emma Martin, at 512-463-5448 or emartin@tsl.texas.gov.

Sincerely,

Craig Kelso
Director and State Records Administrator

cc: State Auditor, State Archivist, Brian H. Lloyd



Texas State Library and Archives Commission

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 473
Public Utility Commission of
Agency Name Texas

(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) Michael Phillips
Date 09/12/16

Section 2. Approvals

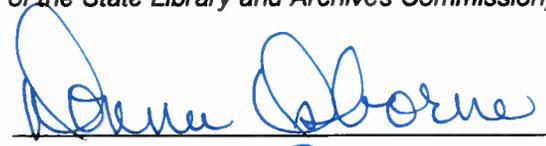
(Submitting agencies do not write in this section)

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) Donna Osborne
Date 11/1/16

Cert/Recert No. 8 Amendment No. 4

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.





Texas
State Library
and Archives
Commission

STATE OF TEXAS

Records Retention Schedule Amendment

SLR 122

Form SLR 105C must accompany this form.

1. Page 1 of 5

2. Agency Code 473		3. Agency Name PUBLIC UTILITY COMMISSION OF TEXAS								
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			Page No.	Agency Item No.	

3.1.035	E.EM-35	<p>Performance Bonds</p> <p>Bonds posted by employees and individuals or entities under contract with an agency for the performance of the duties of a position or the terms of a contract with the agency.</p> <p>a) Executed, renewed, or amended on or after September 1, 2015.</p> <p>b) Executed, renewed, or amended on or before August 31, 2015.</p>	AC+7		AC+7	<p>Government Code, 441.1855</p> <p>AC = Expiration or termination of the bond according to its terms.</p> <p>CAUTION: Does not include construction or architectural surety bonds. SEE item number 5.2.028.</p> <p>SEE related item 5.1.001 Contracts and Leases.</p>		19	E.EM-35	C
2.2	AR.C-00	Technical Support - database	AV		AV			15	AR.C-00	D

Retention Codes (Field 7)			Archival Codes (Field 8)		Amendment Codes (Field 12)	
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	MO – Months	A – Transfer to State Archives	N – New	C – Changed	
AV – Administrative Value	FE – Fiscal Year End	PM – Permanent	R – Review by State Archivist	D – Deleted		
	LA – Life of Asset	US – Until Superseded				



Texas
State Library
and Archives
Commission

STATE OF TEXAS

Records Retention Schedule Amendment

SLR 122

Form SLR 105C must accompany this form.

1. Page 2 of 5

2. Agency Code 473		3. Agency Name PUBLIC UTILITY COMMISSION OF TEXAS									
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Page No.		Agency Item No.

4.2	F.EN-00	Purchase Vouchers Requisitions, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE+3		FE+3	The agency includes item number 4.1.002, 4.2.005, 4.7.011 and 5.5.001 in this record.		24	F.EN-00	C
5.2.008	S.MF-08	Equipment History File Includes requests for installation, moves, service, etc.; and service/repair logbooks, etc.	LA+3		LA+3	For service agreements or contracts related to equipment repairs and service, retain in accordance with item number 5.1.001.		28	S.MF-08	C

Retention Codes (Field 7)			Archival Codes (Field 8)		Amendment Codes (Field 12)
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	MO – Months	A – Transfer to State Archives	N – New	C – Changed D – Deleted
AV – Administrative Value	FE – Fiscal Year End	PM – Permanent	R – Review by State Archivist		
	LA – Life of Asset	US – Until Superseded			



Texas
State Library
and Archives
Commission

STATE OF TEXAS

Records Retention Schedule Amendment

SLR 122

Form SLR 105C must accompany this form.

1. Page 3 of 5

2. Agency Code 473		3. Agency Name PUBLIC UTILITY COMMISSION OF TEXAS									
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks			Page No.	Agency Item No.	

5.1.001	S.GN-01	<p>Contracts and Leases</p> <p>Contracts, lease, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. May also include other applicable documentation in the master contract file per Texas Comptroller of Public Accounts Contract Management Guide.</p> <p>a) Executed, renewed, or amended on or after September 1, 2015.</p> <p>b) Executed, renewed, or amended on or before August 31, 2015.</p>	AC+7		AC+7	<p>Government Code, 441.1855</p> <p>AC = Expiration or termination of the instrument according to its terms. See related item numbers 3.1.035 performance Bonds and 5.3.007 Bid Documentations. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs.</p>		27	S.GN-01	C
---------	---------	--	------	--	------	--	--	----	---------	---

Retention Codes (Field 7)			Archival Codes (Field 8)		Amendment Codes (Field 12)	
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	MO – Months	A – Transfer to State Archives	N – New	C – Changed	
AV – Administrative Value	FE – Fiscal Year End	PM – Permanent	R – Review by State Archivist	D – Deleted		
	LA – Life of Asset	US – Until Superseded				



Texas
State Library
and Archives
Commission

STATE OF TEXAS

Records Retention Schedule Amendment

SLR 122

Form SLR 105C must accompany this form.

1. Page 4 of 5

2. Agency Code 473		3. Agency Name PUBLIC UTILITY COMMISSION OF TEXAS									
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks			Page No.	Agency Item No.	

5.3.007	S.PR-07	Bid Documentation							29	S.PR-07	C
		Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, successful and unsuccessful bids, and bid tabulation/evaluations.									
		<ul style="list-style-type: none"> a) Associated with a contract executed, renewed, or amended on or after September 1, 2015. b) Associated with a contract executed, renewed, or amended on or before August 31, 2015. c) Unsuccessful bids that do not meet agency submission requirements and are not included in bid evaluation process (e.g. withdrawn, missed submission deadline, incomplete submission, etc.). 	AC+7	AC+7	AC= Expiration or termination of the instrument according to its terms or decision not to proceed with the bid.						
			FE+3	FE+3							
			AC+2	AC+2	AC= Date of notification of denial or date of withdrawal, as applicable.						

Retention Codes (Field 7)			Archival Codes (Field 8)		Amendment Codes (Field 12)	
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	MO – Months	A – Transfer to State Archives	N – New		
AV – Administrative Value	FE – Fiscal Year End	PM – Permanent	R – Review by State Archivist	C – Changed		
	LA – Life of Asset	US – Until Superseded		D – Deleted		



Texas
State Library
and Archives
Commission

STATE OF TEXAS

Records Retention Schedule Amendment

SLR 122

Form SLR 105C must accompany this form.

1. Page 5 of 5

2. Agency Code 473		3. Agency Name PUBLIC UTILITY COMMISSION OF TEXAS									
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Page No.		Agency Item No.		

5.3.009	S.PR-09	Requests for Information Requests for information preliminary to the procurement of goods or services by direct purchase or bid.	AC		AC	AC = Decision not to proceed with procurement. CAUTION: If the request for information leads to request for proposal or bid, the request for information documentation should be retained in accordance with item number 5.3.007.			S.PR-09	N

Retention Codes (Field 7)			Archival Codes (Field 8)		Amendment Codes (Field 12)	
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	MO – Months	A – Transfer to State Archives	N – New	C – Changed	
AV – Administrative Value	FE – Fiscal Year End	PM – Permanent	R – Review by State Archivist	D – Deleted		
	LA – Life of Asset	US – Until Superseded				



January 5, 2015

Mr. Michael Phillips
Chief Information Officer
Public Utility Commission of Texas
1701 N Congress
Austin, TX 78701

State and Local
Records Management

Re: Agency records retention schedule amendment approved for use

Dear Mr. Phillips:

P.O. Box 12927
Austin, Texas
78711.2927

Amendment 3 to your agency's 8th recertification of your records retention schedule is approved for use as of Monday, December 22, 2014. Your currently approved records retention schedule and all amendments are available on our website at <https://www.tsl.texas.gov/slrn/state/schedules.html>. Please maintain this amendment with your currently approved schedule so that it can be easily referenced.

4400 Shoal Creek Blvd.
Austin, Texas
78756

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

www.tsl.texas.gov

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.

Commission Chairman
Michael C. Waters

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, Marianna Symeonides, at 512-463-5448 or msymeonides@tsl.texas.gov.

Members
Sharon T. Carr
Martha Doty Freeman
F. Linwood Givens
Larry G. Holt
Wm. Scott McAffee
Sandra J. Pickett

Sincerely,

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

Craig Kelso
Director and State Records Administrator

Director and Librarian
Mark Smith

Assistant State Librarian
Edward Seidenberg

cc: State Auditor, State Archivist, Brian H. Lloyd

*Preserving yesterday,
informing today,
inspiring tomorrow.*

R01.473/473



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 473
Agency Name Public Utility Commission of Texas

(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)* Michael Phillips
Date 12/2/14

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

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

Not Required at This Time

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

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

Signature
Name *(Print or type)* _____
Date 12.22.14

Cert/Recert No. 8 Amendment No. 3

CAUTION

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

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





STATE OF TEXAS

Records Retention Schedule Amendment

SLR 122

Form SLR 105C must accompany this form.

1. Page 1 of 1

2. Agency Code 473		3. Agency Name PUBLIC UTILITY COMMISSION OF TEXAS									
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			9. Remarks	Page No.		Agency Item No.

1.1	A.GN-00	Certificates of Convenience & Necessity (CCN)	PM	PM	PM			15-473-020	1	A.GN-00	C
1.1	A.GN-00	Certificates of Convenience & Necessity (CCN)	PM	PM	PM			15-473-018	1	A.GN-00	C
1.1	A.GN-00.01	Certificates of Convenience & Necessity (CCN)	AC+5	30	AC+35	A		15-473-019	1	A.GN-00.01	C
1.1	A.GN-00.02	Applications, Registrations & Renewals - Utilities	AC	3	AC+3			15-473-021	1	A.GN-00.02	C
1.1.007	A.GN-07.01	Correspondence - Administrative - Commissioners	AC	4	AC+4	A		15-473-022	4	A.GN-07.01	C

Retention Codes (Field 7)			Archival Codes (Field 8)		Amendment Codes (Field 12)
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	MO – Months	A – Transfer to State Archives	N – New	
AV – Administrative Value	FE – Fiscal Year End	PM – Permanent	R – Review by State Archivist	C – Changed	
	LA – Life of Asset	US – Until Superseded		D – Deleted	



State and Local
Records Management

P.O. Box 12927
Austin, Texas
78711.2927

4400 Shoal Creek Blvd.
Austin, Texas
78756

www.tsl.texas.gov

Commission Chairman
Michael C. Waters

Members
Sharon T. Carr
Martha Doty Freeman
F. Linwood Givens
Larry G. Holt
Wm. Scott McAfee
Sandra J. Pickett

Director and Librarian
Mark Smith

Assistant State Librarian
Edward Seidenberg

*Preserving yesterday,
informing today,
inspiring tomorrow.*

October 28, 2014

Mr. Michael Phillips
Chief Information Officer
Public Utility Commission of Texas
1701 N Congress
Austin, TX 78701

Re: Agency records retention schedule amendment approved for use

Dear Mr. Phillips:

Amendment 2 to your agency's 8th recertification of your records retention schedule is approved for use as of Thursday, October 23, 2014. Your currently approved records retention schedule and all amendments are available on our website at <https://www.tsl.texas.gov/slrn/state/schedules.html>. Please maintain this amendment with your currently approved schedule so that it can be easily referenced.

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

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

Thank you again for your commitment to complying with state records management laws and regulations. If we can provide any assistance to you, please contact the Government Information Analyst assigned to your agency, Marianna Symeonides, at 512-463-5448 or msymeonides@tsl.texas.gov.

Sincerely,

Craig Kelso
Director and State Records Administrator

cc: State Auditor, State Archivist, Brian H. Lloyd

R01.473/473



Texas
State Library
and Archives
Commission

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 473
Agency Name Public Utility Commission
of Texas

(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) Michael Phillips

Date 9/10/14

Section 2. Approvals

(Submitting agencies do not write in this section)

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

Not Required at This Time

Signature _____

Name (Print or type) _____

Date _____

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

Signature E. Hidenberg

Name (Print or type) _____

Date 10-23-2014

Cert/Recert No. 8 Amendment No. 2

CAUTION

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

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





STATE OF TEXAS

Records Retention Schedule Amendment

SLR 122

Form SLR 105C must accompany this form.

1. Page of 2

2. Agency Code 473		3. Agency Name PUBLIC UTILITY COMMISSION OF TEXAS									
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Page No.		Agency Item No.		

1.1	A.GN-00.02	Applications, Registration & Renewals - Utilities Application and renewals for different utility services not included in other record series in this schedule. Includes Interexchange Carriers (IXC) registration, Automatic Dial Announcing Device (ADAD) application, payphone registration, Exempt Utilities & Utilities without Certificates of Convenience & Necessity (CCN) and related correspondence.	AC	3	AC+3		AC = Date of expiration or relinquishment.	15-473-014	1	A.GN-00.02	C
-----	------------	--	----	---	------	--	--	------------	---	------------	---

Retention Codes (Field 7)			Archival Codes (Field 8)		Amendment Codes (Field 12)	
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	MO – Months	A – Transfer to State Archives	N – New		
AV – Administrative Value	FE – Fiscal Year End	PM – Permanent	R – Review by State Archivist	C – Changed		
	LA – Life of Asset	US – Until Superseded		D – Deleted		



STATE OF TEXAS

Records Retention Schedule Amendment

SLR 122

Form SLR 105C must accompany this form.

1. Page of 2

2. Agency Code 473		3. Agency Name PUBLIC UTILITY COMMISSION OF TEXAS								
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			Page No.	Agency Item No.	

1.1.048	A.GN-00.48.06	Litigation Files - Projects Includes Rulemakings, Extended Local Calling Scope proceedings and Ballots, Water & Sewer Annual Reports and any other litigation file projects not included elsewhere in this schedule.	AC	3	AC+3	AC = After the date of the Commission's final order and the time for motions for rehearing have passed. SEE archives note to item number 1.1.048. ARCHIVES NOTE: ELC Ballots have no archival value per L. Saegert, Appraisal Archivist on 4/3/03.	15-473-016	9	A.GN-00.48.06	C
1.1.048	A.GN-00.48.05	Litigation Files - Water Rate Cases Application and supporting documentation for water and sewer utility rate changes.	AC+2	18	AC+20	AC = After the date of the Commission's final order and the time for motions for rehearing have passed.	15-473-015		A.GN-00.48.05	N

Retention Codes (Field 7)			Archival Codes (Field 8)		Amendment Codes (Field 12)	
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	MO – Months	A – Transfer to State Archives	N – New		
AV – Administrative Value	FE – Fiscal Year End	PM – Permanent	R – Review by State Archivist	C – Changed		
	LA – Life of Asset	US – Until Superseded		D – Deleted		



State and Local
Records Management

P.O. Box 12927
Austin, Texas
78711.2927

4400 Shoal Creek Blvd.
Austin, Texas
78756

www.tsl.texas.gov

Commission Chairman
Michael C. Waters

Members
Sharon T. Carr
Martha Doty Freeman
F. Linwood Givens
Larry G. Holt
Wm. Scott McAfee
Sandra J. Pickett

Director and Librarian
Mark Smith

Assistant State Librarian
Edward Seidenberg

*Preserving yesterday,
informing today,
inspiring tomorrow.*

October 28, 2014

Mr. Michael Phillips
Chief Information Officer
Public Utility Commission of Texas
1701 N Congress
Austin, TX 78701

Re: Agency records retention schedule amendment approved for use

Dear Mr. Phillips:

Amendment 1 to your agency's 8th recertification of your records retention schedule is approved for use as of Thursday, October 23, 2014. Your currently approved records retention schedule and all amendments are available on our website at <https://www.tsl.texas.gov/slrn/state/schedules.html>. Please maintain this amendment with your currently approved schedule so that it can be easily referenced.

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

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

Thank you again for your commitment to complying with state records management laws and regulations. If we can provide any assistance to you, please contact the Government Information Analyst assigned to your agency, Marianna Symeonides, at 512-463-5448 or msymeonides@tsl.texas.gov.

Sincerely,

Craig Kelso
Director and State Records Administrator

cc: State Auditor, State Archivist, Brian H. Lloyd

R01.473/473



STATE OF TEXAS

Records Retention Schedule Certification

ms

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 473
 Agency Name Public Utility Commission of Texas

(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)* Michael Phillips
 Date 7/08/14

Section 2. Approvals

(Submitting agencies do not write in this section)

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

Not Required at This Time

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

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

Signature 
 Name *(Print or type)* _____
 Date 10-23-2014

Cert/Recert No. 8 Amendment No. 1

CAUTION

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

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





STATE OF TEXAS

Records Retention Schedule Amendment

SLR 122

Form SLR 105C must accompany this form.

1. Page 1 of 1

2. Agency Code 473		3. Agency Name PUBLIC UTILITY COMMISSION OF TEXAS									
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Page No.		Agency Item No.		

4.	5.	6.	7.			8.		10.	11.		12.
Records Series Item No.	Agency Item No.	Record Series Title	Agency	Storage	Total	Archival		106 No.	Page No.	Agency Item No.	Amend. Type
1.1.048	A.GN-00.48.01	Litigation Files - Book File on Docketed Cases	PM	PM	PM	R		14-473-012	8	A.GN-00.48.01	C
1.1.058	A.GN-58	Meeting Agenda and Minutes	PM	PM	PM	A		14-473-013	11	A.GN-58	C

Retention Codes (Field 7)			Archival Codes (Field 8)		Amendment Codes (Field 12)	
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End FE – Fiscal Year End LA – Life of Asset	MO – Months PM – Permanent US – Until Superseded	A – Transfer to State Archives R – Review by State Archivist		N – New C – Changed D – Deleted	



State and Local
Records Management

P.O. Box 12927
Austin, Texas
78711.2927

4400 Shoal Creek Blvd.
Austin, Texas
78756

www.tsl.texas.gov

Commission Chairman
Michael C. Waters

Members
Sharon T. Carr
Martha Doty Freeman
F. Linwood Givens
Larry G. Holt
Wm. Scott McAfee
Sandra J. Pickett

Director and Librarian
Mark Smith

Assistant State Librarian
Edward Seidenberg

*Preserving yesterday,
informing today,
inspiring tomorrow.*

June 27, 2014

Mr. Michael Phillips
Chief Information Officer
Public Utility Commission of Texas
1701 N Congress
Austin, TX 78701

RE: Agency records retention schedule approved for use

Dear Mr. Phillips:

Your agency's records retention schedule is approved for use as of June 20, 2014. Your currently approved records retention schedule is available on our website at <https://www.tsl.state.tx.us/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 triennially thereafter. The deadline for submission of your schedule for its next recertification is the last working day of **June 2017**.

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, Marianna Symeonides, at 512-463-5448 or msymeonides@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, Brian H. Lloyd

R01.473/473



Texas
State Library
and Archives
Commission

STATE OF TEXAS Records Retention Schedule Certification

MS

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 473
Agency Name Public Utility Commission
of Texas

(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) Michael Phillips

Date 3/17/2014

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) _____

Date

06-20-2014

Cert/Recert No. 8

Amendment No. _____

CAUTION

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

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



STATE OF TEXAS
Records Retention Schedule

SLR 105Form SLR 105C must accompany this form

Page 1 of 41

2. Agency Code: 473

3. Agency Name:

PUBLIC UTILITY COMMISSION OF TEXAS

11. T SLAC
ONLY Amend
No.

4. Records Series Item No	5. Agency Item No	6. Record Series Title	7. Retention Period		8. Archival	9. Remarks	10. 106 No	11. T SLAC ONLY Amend No.	
			Agency Storage	Total					
1.1		Certificates of Convenience & Necessity (CCN)	PM	PM				3	
A.GN-00		Actual certificates issued.							
1.1		Certificates of Convenience & Necessity (CCN)	AC+5	30	AC+35	A	AC = Date of expiration or termination of certification. ARCHIVES NOTE: After retention met and transferred to Archives, will no longer be stored at State Records Center.	95-473-005	3
A.GN-00.01		Original maps prepared in conjunction with the granting of the CCNs. Also includes folded maps, slides, cassettes and photographs.							
1.1		Applications, Registration & Renewals - Utilities	AC+3		AC+3		AC = Date of expiration or relinquishment.		2, 3
A.GN-00.02		Application and renewals for different utility services not included in other record series in this schedule. Includes Interexchange Carriers (IXC) registration, Automatic Dial Announcing Device (ADAD) application, payphone registration, and related correspondence.							
1.1		Charge Schedules - TARIFFS	US+10		US+10				
A.GN-00.06		Tariff schedules for all utilities, includes terms, conditions and rates of utilities' services.							
1.1		Logbooks - Control Number Logs	PM		PM				
A.GN-00.07									
1.1		Logbooks	AC+3		AC+3		AC = After Complete.		
A.GN-00.08		All logbooks not included in or directly related to other record series in this schedule. Includes division docket assignment logbooks.							

STATE OF TEXAS
Records Retention Schedule

SLR 105Form SLR 105C must accompany this form

Page 2 of 41

2. Agency Code: 473

3. Agency Name:

PUBLIC UTILITY COMMISSION OF TEXAS

11. T SLAC
ONLY Amend
No.

4. Records Series Item No	5. Agency Item No	6. Record Series Title	7. Retention Period	8. Archival	9. Remarks	10. 106 No
			Agency Storage	Total		
1.1		Customer Protection - Complaints Database	AC+5	AC+5	AC = Final disposition of the complaint.	
A.GN-00.10		Computer database of complaints made by citizens/consumers concerning utilities regulated by the PUC.				
1.1		Outage Reports	AC+1	AC+1	AC = Date of outage	
A.GN-00.12		Outage Report Information form submitted by Service Providers to document a significant interruption of service.				
1.1.002		Audits - External Compliance	AC+7	AC+7	AC = Publication or release of final audit findings.	
A.GN-02.01		Compliance audits and reviews performed by the agency on utilities Retail Electric Provider (REP), Telecommunications Service Provider (TSP), and Transmission and Distribution Utility (TDU). Includes associated workpapers.				
1.1.002		Audits - External Regulatory	AC+7	AC+7	AC = Publication or release of final audit findings. The State Auditor's Office retains any copies of its audits performed on Texas state agencies.	
A.GN-02.02		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.				
1.1.002		Audits - External Regulatory - Workpapers	AC+5	2 AC+7	AC = Publication or release of final audit findings.	96-473-006
A.GN-02.03		Workpapers of regulatory audits and reviews performed by the agency on utilities.				

STATE OF TEXAS
Records Retention Schedule

SLR 105Form SLR 105C must accompany this form

Page 3 of 41

2. Agency Code: 473 3. Agency Name:

PUBLIC UTILITY COMMISSION OF TEXAS

11. T SLAC
ONLY Amend
No.

4. Records Series Item No	5. Agency Item No	6. Record Series Title	7. Retention Period	8. Archival	9. Remarks	10. 106 No
			Agency Storage	Total		
1.1.002		Audits - External Compliance TUSF	AC+7	AC+7	AC = Publication or release of final audit findings.	
	A.GN-02.04	Compliance audits and reviews performed by the agency on vendors and contractors receiving disbursements from the Texas Universal Service Fund.				
1.1.002		Audits - Internal & Other	AC+7	AC+7	AC = Publication or release of final audit findings. The State Auditor's Office retains any copies of its audits performed on Texas state agencies.	
	A.GN-02.05	Includes audits and reviews performed by the agency on internal operations (i.e., Internal Auditor's Annual Report); audit reports received from the State Auditor's Office; the Texas Performance Review Audit; also includes Internal Audit workpapers, as required by Texas Internal Auditor's Act.				
1.1.004		Legislative Appropriation Requests	AC+6	AC+6	A AC = September 1 of odd-numbered calendar years. ARCHIVES NOTE: The archival requirement is met by sending the required copies of the requests to the Texas State Publications Depository Program, Texas State Library and Archives Commission. Only copies of supporting documentation submitted to the Legislative Budget Board are archival.	
	A.GN-04	Including any supporting documentation created and/or used to justify and support legislative appropriations requests by an agency.				
1.1.006		Complaint Records	AC+2	AC+2	AC = Final disposition of the complaint.CAUTION: If a complaint becomes the subject of litigation, it must be included in and is subject to the minimum retention period of item number 1.1.048.	
	A.GN-06	Complaints received by an agency from the public concerning the agency and records pertaining to the resolution of the complaint.				

STATE OF TEXAS
Records Retention Schedule

SLR 105Form SLR 105C must accompany this form

Page 4 of 41

2. Agency Code: 473 3. Agency Name:

PUBLIC UTILITY COMMISSION OF TEXAS

11. T SLAC
ONLY Amend
No.

4. Records Series Item No	5. Agency Item No	6. Record Series Title	7. Retention Period	8. Archival	9. Remarks	10. 106 No
			Agency Storage	Total		
1.1.007		Correspondence - Administrative	4	4	R	
	A.GN-07	Incoming/outgoing and internal correspondence pertaining to the formulation, planning, implementation, interpretation, modification, or redefinition of the programs, services, or projects of an agency and the administrative regulations, policies, and procedures that govern them.			ARCHIVES NOTE: Only the administrative correspondence of executive staff, board or commission members, division directors and program heads require archival review. Contact the State Archives when these records have met their retention periods.CAUTION: This records series and item number 1.1.008 should be used only for correspondence that is not included in or directly related to another records series on the agency's approved schedule. For example, a memoranda 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.	
1.1.007		Correspondence - Administrative - Commissioners	AC+4	AC+4	A	
	A.GN-07.01	Commissioners' incoming/outgoing and internal correspondence pertaining to the formulation, planning, implementation, interpretation, modification, or redefinition of the programs, services, or projects of an agency and the administrative regulations, policies, and procedures that govern them.			AC = End of Commissioner's term.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 memoranda 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.ARCHIVES NOTE: A archival code per Laura Saegert, Appraisal Archivist 1996.	

STATE OF TEXAS
Records Retention Schedule

SLR 105Form SLR 105C must accompany this form

Page 5 of 41

2. Agency Code: 473 3. Agency Name:

PUBLIC UTILITY COMMISSION OF TEXAS

11. T SLAC
ONLY Amend
No.

4. Records Series Item No	5. Agency Item No	6. Record Series Title	7. Retention Period	8. Archival	9. Remarks	10. 106 No
			Agency Storage	Total		
1.1.008		Correspondence - General	2	2	SEE comment to item number 1.1.007.	
	A.GN-08	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.				
1.1.011		Executive Orders	US+5	US+5	A NOTE: Agency policy to retain longer than TSLAC minimum per Executive office.	
	A.GN-11	Any document that initiates, rescinds, or amends a regulation, policy, or procedure that governs the programs, services, or projects of an agency.				
1.1.013		Calendars, Appointment and Itinerary Records	CE+1	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 these records have met their retention periods.CAUTION: A record of this type purchased with personal funds, but used by a state official or employee to document his or her work activities may be a state record and subject to this retention period. See Open Records Decision 635 issued in December 1995 by the Attorney General.	
	A.GN-13	Calendars, appointment books or programs and scheduling, or itinerary records, purchased with state funds or maintained by staff during business hours that document appointments, itineraries, and other activities of agency officials or employees.				
1.1.014		Legal Opinions and Advice	AV	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.	
	A.GN-14	From agency legal counsel or the Attorney General, including any requests eliciting the opinions.				

STATE OF TEXAS
Records Retention Schedule

SLR 105Form SLR 105C must accompany this form

Page 6 of 41

2. Agency Code: 473 3. Agency Name:

PUBLIC UTILITY COMMISSION OF TEXAS

11. T SLAC
ONLY Amend
No.

4. Records Series Item No	5. Agency Item No	6. Record Series Title	7. Retention Period	8. Archival	9. Remarks	10. 106 No
			Agency Storage	Total		
1.1.019	A.GN-19	Public Relations Records News, press releases, or any public relations files maintained or issued by an agency. Includes print, electronic, audio, and audiovisual records.	2	2	A	ARCHIVES NOTE: A archival code per Laura Saegert, Appraisal Archivist 1996.
1.1.020	A.GN-20	Public Information Requests - Not Exempted Includes all correspondence and documentation relating to requests for records that are furnished to the public under Public Information Act (Chapter 552, Government Code).	AC+1	AC+1	AC	Date request fulfilled.
1.1.021	A.GN-21	Public Information Requests - Exempted Includes all correspondence and documentation relating to requests for records that are exempt under the Public Information Act (Chapter 552, Government Code).	AC+2	AC+2	AC	Date of notification that records are exempt.
1.1.023	A.GN-23	Organization Charts	US	US	A	
1.1.024	A.GN-24	Plans and Planning Records Plans and records relating to the process of planning new or redefined programs, services or projects of an agency that are not included in or directly related to other records series in this schedule. Includes BUSINESS PLAN, Texas Universal Service Fund (TUSF) Lifeline Analysis, System Benefit Fund (SBF).	AC+3	AC+3	R	AC = Decision made to implement or not to implement result of planning process.Archives Note: Data processing planning records are not archival.

STATE OF TEXAS
Records Retention Schedule

SLR 105Form SLR 105C must accompany this form

Page 7 of 41

2. Agency Code: 473

3. Agency Name:

PUBLIC UTILITY COMMISSION OF TEXAS

11. T SLAC
ONLY Amend
No.

4. Records Series Item No	5. Agency Item No	6. Record Series Title	7. Retention Period	8. Archival	9. Remarks	10. 106 No
			Agency Storage	Total		
1.1.026	Texas Register Submissions		AC+1	AC+1	AC = Date of publication in the Texas Register.	
A.GN-26	Copies of all proposed, withdrawn, emergency, and adopted rules; open meetings notices; or any other documents required by law to be submitted to the Texas Register.					
1.1.027	Proposed Legislation		AV	AV		
A.GN-27	Drafts of proposed legislation and related correspondence.					
1.1.038	Customer Surveys		AC	AC	AC = Final disposition of summary report.SEE item number 1.1.067 for summary reports compiled from customer surveys.	
A.GN-38	Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.					
1.1.040	Speeches, Papers and Presentations		AC	AC	A AC = End of term in office or termination of service in a state position.ARCHIVES NOTE: A archival code per Laura Saegert, Appraisal Archivist 1996.	
A.GN-40	Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.					
1.1.041	Suggestion System Records		1	1		
A.GN-41	Suggestions submitted by agency personnel and responses.					
1.1.043	Training Materials		US+1	US+1		
A.GN-43	Instructional materials developed by an agency for training entities or individuals it regulates or serves.					

STATE OF TEXAS
Records Retention Schedule

SLR 105Form SLR 105C must accompany this form

Page 8 of 41

2. Agency Code: 473 3. Agency Name:

PUBLIC UTILITY COMMISSION OF TEXAS

11. T SLAC
ONLY Amend
No.

4. Records Series Item No	5. Agency Item No	6. Record Series Title	7. Retention Period	8. Archival	9. Remarks	10. 106 No
			Agency Storage	Total		
1.1.048		Litigation Files	AC+1	AC+1	R	
	A.GN-48	Records created by or on behalf of an agency in anticipation of or in the adjudication of a lawsuit. Includes Civil Suits that are not related to contested cases or rulemaking procedures. Some or all of this material may be attorney/client privilege.			AC = As applicable, decision of an agency not to file a lawsuit or decision that a lawsuit will not be filed against it on a matter; dismissal of a lawsuit for want of prosecution or on motion of the plaintiff; or final decision of a court (or of a court on appeal, if applicable) in a lawsuit. ARCHIVES NOTE: Cases that set legal precedent or exhibit historical value will be evaluated by the Archives and Information Services Division of the Texas State Library and Archives Commission for archival preservation.	
1.1.048		Litigation Files - BALLOTS (Commissioner)	AC+1	AC+1	R	
	A.GN-00.48	Includes all ballots on appeals, motions for rehearing, oral argument, open meeting consent items, etc.			AC = After file is closed. SEE archives note to item number 1.1.048.	
1.1.048		Litigation Files - Book File on Docketed Cases	PM	PM	R	
	A.GN-00.48.01	Includes the Orders, Proposals for Decision and Final Orders on all contested and uncontested dockets.			SEE archives note to item number 1.1.048.	1
1.1.048		Litigation Files - Bullet Points	AC+3	AC+3	R	
	A.GN-00.48.02	Memoranda and/or Bullet Points from the Policy Development Division or the AG's office to the Commissioners.			AC = After the date of the Commission's final order and the time for motions for rehearing have passed. SEE archives note to item number 1.1.048.	

STATE OF TEXAS
Records Retention Schedule

SLR 105Form SLR 105C must accompany this form

Page 9 of 41

2. Agency Code: 473 3. Agency Name:

PUBLIC UTILITY COMMISSION OF TEXAS

11. T SLAC
ONLY Amend
No.

4. Records Series Item No	5. Agency Item No	6. Record Series Title	7. Retention Period	8. Archival	9. Remarks	10. 106 No
1.1.048		Litigation Files - Docketed Proceedings	AC+3	R	AC = After the date of the Commission's final order and the time for motions for rehearing have passed.SEE archives note to item number 1.1.048.	98-473-009
	A.GN-00.48.04	Includes Certificate of Service list for all docketed cases, contested and uncontested; Contents of files of docketed proceedings, contested and uncontested; Motions, Prehearing Transcripts, Hearing Transcripts, Tapes of Prehearings and/or Hearings, Testimony, Briefs, Pleadings, Exhibits, and Requests for Information, etc.	Agency Storage 7	Total AC+10		
1.1.048		Litigation Files - Projects	AC+3	R	AC = After the date of the Commission's final order and the time for motions for rehearing have passed.SEE archives note to item number 1.1.048.ARCHIVES NOTE: ELC Ballots have no archival value per L. Saegert, Appraisal Archivist on 4/3/03.	2
	A.GN-00.48.06	Includes Rulemakings, Extended Local Calling Scope proceedings and Ballots, and any other litigation file projects not included elsewhere in this schedule.				
1.1.048		Litigation Files - STAFF TESTIMONY WORKPAPERS	AC+2	R	AC = After the date of the Commission's final order and the time for motions for rehearing have passed.SEE archives note to item number 1.1.048.	
	A.GN-00.48.08	Workpapers used in preparation of staff testimony that are not filed in Central Records.				
1.1.048		Litigation Files - TARIFFS	AC+3	R	AC = After the date of the Commission's final order and the time for motions for rehearing have passed.SEE archives note to item number 1.1.048.	
	A.GN-00.48.09	Tariffs, Telecom Informational Tariff Filings and Cost Studies				
1.1.053		Registration Logs	AC		AC = Report filed with the Texas Ethics Commission.	
	A.GN-53	Logs or similar records used to register persons appearing before state agencies as required by Chapter 2004, Government Code, including quarterly reports filed with the Texas Ethics Commission.				

STATE OF TEXAS
Records Retention Schedule

SLR 105Form SLR 105C must accompany this form

Page 10 of 41

2. Agency Code: 473 3. Agency Name:

PUBLIC UTILITY COMMISSION OF TEXAS

11. T SLAC
ONLY Amend
No.

4. Records Series Item No	5. Agency Item No	6. Record Series Title	7. Retention Period	8. Archival	9. Remarks	10. 106 No
			Agency Storage	Total		
1.1.055	Strategic Plans		AC+6	AC+6	A	
A.GN-55	Information resources and operational strategic plans prepared in accordance with §2054.095 and §2056.002, Government Code.				AC = September 1 of odd-numbered calendar years.Archives NOTE: The archival requirement is met by sending the required copies of the plans to the Texas State Publications Depository Program, Texas State Library and Archives Commission.	
1.1.056	ADA (Americans With Disabilities Act) Documentation		3	3		
A.GN-56	Self evaluations and plans documenting compliance with the requirements of the Americans With Disabilities Act.				28 CFR 35.105(c)	
1.1.057	Transitory Information		AC	AC		
A.GN-57	Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; telephone message notifications; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.				AC = Purpose of record has been fulfilled.CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions.The disposal of transitory information need not be documented through destruction authorizations (1.2.001) or in records disposition logs (1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (1.2.014).	

STATE OF TEXAS
Records Retention Schedule

SLR 105Form SLR 105C must accompany this form

Page 11 of 41

2. Agency Code: 473 3. Agency Name:

PUBLIC UTILITY COMMISSION OF TEXAS

11. T SLAC
ONLY Amend
No.

4. Records Series Item No	5. Agency Item No	6. Record Series Title	7. Retention Period	8. Archival	9. Remarks	10. 106 No	11. T SLAC ONLY Amend No.
			Agency Storage	Total			
1.1.058		Meeting Agenda and Minutes	PM	PM	A		
A.GN-58		Official agenda and minutes of state boards, committees, commissions, and councils that conduct open meetings as required by Government Code, Chapter 551.			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.		1
1.1.059		Meetings, Certified Agendas or Tape Recordings of Closed	AC+2	AC+2			
A.GN-59		Certified agendas or tape recordings of closed meetings of state boards, commissions, committees, and councils.			AC = The date of the meeting or completion of pending action involving the meeting, whichever is later. Government Code, 551.104(a).		
1.1.060		Meetings, Audio or Videotapes of Open	AC+90 Days	AC+90 Days			
A.GN-60		Audio or videotapes of open meetings of state boards, commissions, committees, and councils.			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.		
1.1.062		Meetings - Supporting Documentation	2	2	A		
A.GN-62		Documents submitted at meetings of state boards, commissions, committees, and councils including exhibit items, documentation for agenda items, etc. Includes documents sent in advance of meetings for briefing purposes, some of which may not be submitted at an actual meeting.					

STATE OF TEXAS
Records Retention Schedule

SLR 105Form SLR 105C must accompany this form

Page 12 of 41

2. Agency Code: 473

3. Agency Name:

PUBLIC UTILITY COMMISSION OF TEXAS

11. T SLAC
ONLY Amend
No.

4. Records Series Item No	5. Agency Item No	6. Record Series Title	7. Retention Period		8. Archival	9. Remarks	10. 106 No
			Agency Storage	Total			
1.1.063	A.GN-63	Staff Meeting Minutes and Notes Minutes or notes, and supporting documentation, taken at internal agency staff meetings.	1	1			
1.1.064	A.GN-64	Agency Performance Measures Documentation Any records of an agency needed for the documentation of output, outcome, efficiency, and explanatory measures in an agency's appropriations request or strategic plan, and for performance measures used to manage the agency.	FE+3	FE+3		CAUTION: The FE + 3 retention period overrides any shorter retention period for a records series in this schedule if the records series is needed for documentation of agency performance measures.	
1.1.065	A.GN-65	Reports and Studies (Non-Fiscal) - Raw Data Information or data collected and compiled for the purpose of producing non-fiscal reports. May include materials not produced in final report or study. Includes raw data collected for reports distributed either internally or to other entities. Includes reports required from utilities by Legislation or Agency rules. Includes Federal Energy Regulatory Commission (FERC), Securities and Exchange Commission (SEC), Federal Communications Commission (FCC) and other agency filings filed with Public Utility Commission.	AV	AV		CAUTION: Does not include source documentation used for information or data included in or directly related to another records series in this schedule. SEE especially item number 1.1.064.	
1.1.066	A.GN-66	Reports - Biennial or Annual Agency (Narrative) Biennial narrative reports to the governor and legislature as required by an agency's enabling statutes, including annual narrative reports if they are required by statute.	AC+6	AC+6	A	AC = September 1 of odd-numbered calendar years ARCHIVES NOTE: The archival requirement is met by sending the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission.	

STATE OF TEXAS
Records Retention Schedule

SLR 105Form SLR 105C must accompany this form

Page 13 of 41

2. Agency Code: 473 3. Agency Name:

PUBLIC UTILITY COMMISSION OF TEXAS

11. T SLAC
ONLY Amend
No.

4. Records Series Item No	5. Agency Item No	6. Record Series Title	7. Retention Period	8. Archival	9. Remarks	10. 106 No
			Agency Storage	Total		
1.1.067		Reports and Studies (Non-Fiscal)	3	3	R	
A.GN-67		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. Includes reports and studies regarding the utility industry.			A copy of final product should be sent to the Texas State Publications Depository Program, Texas State Library and Archives Commission. e.g. Scope of competition in telecommunications markets, The scope of competition in the electric industry of Texas.	
1.1.067		Reports and Studies (Non-Fiscal) - Interlibrary Loan Records	AC+5	AC+5	E	
A.GN-67.02		Record of Lending/Borrowing between PUC library and other libraries.			AC = Retention period determined by interlibrary loan agreement.E = 7/31/02 - Authority to remove the Archival code "R" given by Appraisal Archivist, Laura Saegert.NOTE: Agency policy to retain longer than TSLAC minimum per the Librarian.	
1.1.067		Reports and Studies (Non-Fiscal) - Library Circulation Records	3	3	E	
A.GN-67.03		Includes Library circulation records. Chapter 552 of the Government Code excepts library circulation records from public disclosure.			E = 7/31/02 - Authority to remove the Archival code "R" given by Appraisal Archivist, Laura Saegert.	
1.1.067		Reports and Studies (Non-Fiscal) - Earnings Monitoring Reports	AC+3	AC+3	A	
A.GN-67.04					AC = After the date of the Commission's final order and the time for motions for rehearing have passed.NOTE: Agency policy to retain longer than TSLAC minimum per Central Records.	

STATE OF TEXAS
Records Retention Schedule

SLR 105Form SLR 105C must accompany this form

Page 14 of 41

2. Agency Code: 473 3. Agency Name:

PUBLIC UTILITY COMMISSION OF TEXAS

11. T SLAC
ONLY Amend
No.

4. Records Series Item No	5. Agency Item No	6. Record Series Title	7. Retention Period	8. Archival	9. Remarks	10. 106 No
			Agency Storage	Total		
1.1.068		Reports on Performance Measures	AC+6	AC+6	AC = September 1 of odd-numbered calendar years.	
	A.GN-68	Quarterly and annual reports on agency performance measures submitted to the executive and legislative offices.				
1.1.069		Reports - Activity	1	1	CAUTION: See item number 1.1.064.	
	A.GN-69	Reports compiled by agency personnel on a daily or other periodic basis pertaining to workload monitoring, task completion times, number of public contacts, and similar activities.				
1.1.070		Agency Rules, Policies, and Procedures - Final	AC+3	AC+3	A AC = Completion or termination of program, rules, policies, or procedures.SEE ALSO Agency Rules, Policies and Procedures - Working Files, item number 1.1.071.ARCHIVES NOTE: A archival code per Laura Saegert, Appraisal Archivist 1996 not to include personnel manuals.	
	A.GN-70	Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.				
1.1.071		Agency Rules, Policies, and Procedures - Working Files	AC+3	AC+3	E AC = Completion or termination of program, rules, policies, or procedures.SEE ALSO Records Series Item Number 1.1.070.ARCHIVES NOTE: Archival code removed subsequent to appraisal instructions by the Archives and Information Services Division, Texas State Library and Archives Commission, Laura Saegert, December 14, 2007. Per 1996 review, not to include personnel manuals.	
	A.GN-71	Working files used in the development of manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.				

STATE OF TEXAS
Records Retention Schedule

SLR 105Form SLR 105C must accompany this form

Page 15 of 41

2. Agency Code: 473

3. Agency Name:

PUBLIC UTILITY COMMISSION OF TEXAS

11. T SLAC
ONLY Amend
No.

4. Records Series Item No	5. Agency Item No	6. Record Series Title	7. Retention Period	8. Archival	9. Remarks	10. 106 No
			Agency Storage	Total		
1.1.072		Public Information Reports				
	A.GN-72	Reports made to Office of the Attorney General on an agency's Public Information Act activities.	2	2		
1.1.073		Administrative Hearings	AC+3	AC+3	R AC = Last action	
	A.GN-73	Transcripts and final decisions of hearings conducted as part of the regulatory process, and hearings on proposed rules and changes. The records may be maintained with related information including meeting notices, proofs of publication, and meeting minutes.				
1.1.074		Sunset Review Report and Documentation	AC+3	AC+3	R AC = After the subsequent Sunset Review.	
	A.GN-74					
1.2.001		Destruction Authorizations	FE+3	FE+3		
	A.RM-01	Agency level documents authorizing final disposition of records under a certified records retention schedule.				
1.2.004		Forms Inventory	US	US		
	A.RM-04	Any periodic listing of all forms used internally or externally by an agency.				
1.2.005		Records Retention Schedule (SLR 105)	US	US	Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission.	
	A.RM-05	Agency copy. Formerly RMD 105. Includes documentation of certification and approval - forms SLR 105C (formerly RMD 105C) and/or other forms designated by the State Records Administrator.				

STATE OF TEXAS
Records Retention Schedule

SLR 105Form SLR 105C must accompany this form

Page 16 of 41

2. Agency Code: 473

3. Agency Name:

PUBLIC UTILITY COMMISSION OF TEXAS

11. T SLAC
ONLY Amend
No.

4. Records Series Item No	5. Agency Item No	6. Record Series Title	7. Retention Period	8. Archival	9. Remarks	10. 106 No
1.2.006	Records Transmittal Forms					
A.RM-06		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.	Agency Storage AC+2	Total AC+2	AC = Date of authorization for destruction, permanent transfer from storage, or transfer to the Archives and Information Services Division, Texas State Library and Archives Commission, by the agency records management officer.	
1.2.008	Request for Authority to Dispose of State Records (RMD 102)					
A.RM-08		Agency copy.	FE+3	FE+3	Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission.	
1.2.010	Records Disposition Logs					
A.RM-10		Logs or similar records listing records destroyed or transferred to the Archives and Information Services Division, Texas State Library, showing records series title, dates of records, and date destroyed or transferred.	10	10		
1.2.011	Record Center Storage Approval Forms (RMD106)					
A.RM-11		Agency copy.	US	US		
1.2.012	Records Inventory Worksheets					
A.RM-12			US	US		
1.2.013	Records Control Locator Aids					
A.RM-13		Includes indexes, card files, shelf lists, registers, guides, etc.	AC	AC	AC = When control aid is updated, revised, or no longer needed. CAUTION: These records must carry the same retention period and archival code of the records they support.	

STATE OF TEXAS
Records Retention Schedule

SLR 105Form SLR 105C must accompany this form

Page 17 of 41

2. Agency Code: 473

3. Agency Name:

PUBLIC UTILITY COMMISSION OF TEXAS

11. T SLAC
ONLY Amend
No.

4. Records Series Item No	5. Agency Item No	6. Record Series Title	7. Retention Period	8. Archival	9. Remarks	10. 106 No
			Agency Storage	Total		
1.2.014		Records Management Plans	US+1	US+1		
	A.RM-14	Records management plans and similar records that establish the policies and procedures under which records and information are managed in an agency.				
1.2.015		Disaster Recovery Service Transmittals (RMD109)	FE+1	FE+1		
	A.RM-15	Also includes documentation for disaster recovery services provided by other entities.				
1.2.016		Disaster Recovery Service Approval Form (RMD 113)	AC	AC	AC = Until superseded or termination of service.	
	A.RM-16	Agency copy of form.				
1.3.001		State Publications	AC+2	AC+2	AC = Until superseded or obsolete.CAUTION: Many state publications must be submitted to the Texas State Publications Depository Program, Texas State Library and Archives Commission, by law (Government Code 441.101-441.106). The Texas State Library and Archives Commission will retain a copy of all state publications submitted to it on a continuing basis, subject to periodic evaluation to determine if the publication merits further retention.For additional information and requirements concerning state publications made available to the public through the Internet, consult the administrative rules of the Texas State Publications Depository Program of the Texas State Library and Archives Commission (13 TAC 3.1-3.16).	
	A.SP-01	Includes PUC UPDATE. One copy of each state publication as defined on page xii of the "Texas State Records Retention Schedule" introduction, 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.				

STATE OF TEXAS
Records Retention Schedule

SLR 105Form SLR 105C must accompany this form

Page 18 of 41

2. Agency Code: 473 3. Agency Name:

PUBLIC UTILITY COMMISSION OF TEXAS

11. T SLAC
ONLY Amend
No.

4. Records Series Item No	5. Agency Item No	6. Record Series Title	7. Retention Period	8. Archival	9. Remarks	10. 106 No
1.3.002		Publication Development Files	AV	AV R		
A.SP-02		Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.				
2.1.001		Processing Files	AC	AC	AC = Completion of 3rd verification cycle, or audit completion confirming successful transaction processing, or required audit trail maintenance, or the ability to restore or migrate when errors are detected or when hardware or software changes occur. CAUTION: Records management officers must be certain before assigning the retention period of AC to agency automated processing files that the files do not fall under records series listed elsewhere.	
AR.A-01		Machine-readable files used in the creation, utilization, and updating of master files.				
2.1.002		Master Files	AC	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 records series listed elsewhere.	
AR.A-02		Relatively long-lived computer files containing organized and consistent sets of complete and accurate electronic records. Examples include, but are not limited to, data tables of relational databases used by applications or computer programs.				

STATE OF TEXAS
Records Retention Schedule

SLR 105Form SLR 105C must accompany this form

Page 19 of 41

2. Agency Code: 473 3. Agency Name:

PUBLIC UTILITY COMMISSION OF TEXAS

11. T SLAC
ONLY Amend
No.

4. Records Series Item No	5. Agency Item No	6. Record Series Title	7. Retention Period	8. Archival	9. Remarks	10. 106 No
2.1.007	Software Programs		Agency Storage AC	Total AC	AC = Until electronic records are transferred to and made usable in a new software environment or there are no electronic records being retained to meet an approved retention period that require the software to be retrieved and read. 13 TAC 6.94. CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.	
AR.A-07		Automated software applications and operating system files including job control language, program listing/source code, etc.				
2.1.008	Hardware Documentation		AC	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. 13 TAC 6.94.CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.	
AR.A-08		Records documenting operational and maintenance requirements of computer hardware such as operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems.				

STATE OF TEXAS
Records Retention Schedule

SLR 105Form SLR 105C must accompany this form

Page 20 of 41

2. Agency Code: 473 3. Agency Name:

PUBLIC UTILITY COMMISSION OF TEXAS

11. T SLAC
ONLY Amend
No.

4. Records Series Item No	5. Agency Item No	6. Record Series Title	7. Retention Period	8. Archival	9. Remarks	10. 106 No
			Agency Storage	Total		
2.1.009 Technical Documentation			AC	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. 13 TAC 6.94. CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.	
AR.A-09		Records adequate to specify all technical characteristics necessary for reading or processing of electronic records and their timely, authorized disposition including documentation describing how a system operates and necessary for using the system such as user guides, system or sub-system definitions, system specifications, input and output specifications, and system flow charts; program descriptions and documentation such as program flowcharts, program maintenance logs, change notices, and other records that document modifications to computer programs; and data documentation necessary to access, retrieve, manipulate, and interpret data in an automated system such as a data element dictionary, file layout, code book or table, and other records that explain the meaning, purpose, structure, logical relationships, and origin of the data elements.				
2.2 Technical Support - database			AV	AV		
AR.C-00		Help desk database.				
2.2.001 System Monitoring Records			AV	AV		
AR.C-01		Electronic files or automated logs created to monitor computer systems such as print spool logs, console logs, tape activity logs, etc.				

STATE OF TEXAS
Records Retention Schedule

SLR 105Form SLR 105C must accompany this form

Page 21 of 41

2. Agency Code: 473 3. Agency Name:

PUBLIC UTILITY COMMISSION OF TEXAS

11. T SLAC
ONLY Amend
No.

4. Records Series Item No	5. Agency Item No	6. Record Series Title	7. Retention Period	8. Archival	9. Remarks	10. 106 No
			Agency Storage	Total		
2.2.004		Computer Job Schedules and Reports	3 MO	3 MO		
AR.C-04		Schedules or similar records showing computer jobs to be run and other reports by computer operators or programmers of work performed.				
2.2.014		Internet Cookies	AV	AV	The disposal of Internet cookies need not be documented through destruction authorizations (1.2.001) or in records disposition logs (1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (1.2.014).	
AR.C-14		Data resident on hard drives that make use of user-specific information transmitted by the Web server onto the user's computer so that the information might be available for later access by itself or other servers.				
2.2.015		History Files - Web Sites	AV	AV	The disposal of history files 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).	
AR.C-15		A record of the documents visited during an Internet session that allows users to access previously visited pages more quickly or to generate a record of usage of a state-owned computer.				
2.2.016		Software Registrations, Warranties and License Agreements	LA+3	LA+3		
AR.C-16						
3.1		Personnel Administration-Database	FE+5	FE+5		
E.EM-00		Database of personnel records.				

STATE OF TEXAS
Records Retention Schedule

SLR 105Form SLR 105C must accompany this form

Page 22 of 41

2. Agency Code: 473

3. Agency Name:

PUBLIC UTILITY COMMISSION OF TEXAS

11. T SLAC
ONLY Amend
No.

4. Records Series Item No	5. Agency Item No	6. Record Series Title	7. Retention Period	8. Archival	9. Remarks	10. 106 No
			Agency Storage	Total		
3.1.001		Applications for Employment-Not Hired	2	2	29 CFR 1602.31	
E.EM-01		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.				
3.1.002		Applications for Employment-Hired	AC+5	AC+5	AC = Termination of employment.	
E.EM-02		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.				
3.1.006		Employee Counseling Records	AC+3	AC+3	AC = Termination of counseling.	
E.EM-06		Notes, memoranda, or reports relating to the counseling of an employee for work-related, personal, or substance abuse problems. Usually maintained at the supervisorial level except in those agencies with counseling staff.				
3.1.011		Employee Insurance Records	AC	AC	AC = Until superseded or termination of employment.CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item number 3.2.001.	
E.EM-11		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.				

STATE OF TEXAS
Records Retention Schedule

SLR 105Form SLR 105C must accompany this form

Page 23 of 41

2. Agency Code: 473

3. Agency Name:

PUBLIC UTILITY COMMISSION OF TEXAS

11. T SLAC
ONLY Amend
No.

4. Records Series Item No	5. Agency Item No	6. Record Series Title	7. Retention Period		8. Archival	9. Remarks	10. 106 No
			Agency Storage	Total			
3.1.012		Employee Opportunity Announcements	2	2	29 CFR 1602.31		
	E.EM-12	Internal or external announcements or advertisements of job openings, promotions, training programs, or opportunities for overtime.					
3.1.014		Employment Selection Records	2	2	29 CFR 1602.31	CAUTION: Does not include criminal history checks. SEE item number 3.1.026.	
	E.EM-14	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.					
3.1.018		Grievance Records	AC+2	AC+2	AC = Final decision on the grievance.	CAUTION: Does not include formal complaints filed by an agency employee with the Equal Employment Office (EEO) of the U. S. Department of Labor. SEE item number 1.1.048.	
	E.EM-18	Records relating to the review of employee grievances against personnel policies, working conditions, etc.					
3.1.019		Performance Appraisals	AC+5	AC+5	AC = Termination of employment. 29 CFR 1620.32(c).	NOTE: Agency policy to retain longer than TSLAC minimum per Human Resources.	
	E.EM-19						

STATE OF TEXAS
Records Retention Schedule

SLR 105Form SLR 105C must accompany this form

Page 24 of 41

2. Agency Code: 473

3. Agency Name:

PUBLIC UTILITY COMMISSION OF TEXAS

11. T SLAC
ONLY Amend
No.

4. Records Series Item No	5. Agency Item No	6. Record Series Title	7. Retention Period	8. Archival	9. Remarks	10. 106 No
			Agency Storage	Total		
3.1.020		Personnel Corrective Action Documentation	AC+5	AC+5	AC = Termination of corrective action.CAUTION: If during the retention period of this records series, any part of this series is used to document and support personnel disciplinary action under item number 3.1.021, all documentation from this series used to support disciplinary action must be retained for the minimum retention period described by item number 3.1.021.	
E.EM-20		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.				
3.1.021		Personnel Disciplinary Action Documentation	AC+5	AC+5	AC = Termination of employment.	
E.EM-21		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 be used to document evidence of employee self-improvement efforts, as well as favorable and unfavorable communication.				
3.1.022		Personnel Information or Action Forms	2	2	29 CFR 1602.31	
E.EM-22		Forms or similar records used to create or change information concerning the records of an employee including pay grade, position classification, employee number, evaluation date, and termination of employment.				

STATE OF TEXAS
Records Retention Schedule

SLR 105Form SLR 105C must accompany this form

Page 25 of 41

2. Agency Code: 473 3. Agency Name:

PUBLIC UTILITY COMMISSION OF TEXAS

11. T SLAC
ONLY Amend
No.

4. Records Series Item No	5. Agency Item No	6. Record Series Title	7. Retention Period	8. Archival	9. Remarks	10. 106 No
			Agency Storage	Total		
3.1.023		Position/Job Descriptions	AC+4	AC+4	AC = Until superseded or job eliminated. 40 TAC 815.106(i).	
E.EM-23		Job descriptions, including all associated task or skill statements, for positions in an agency.				
3.1.026		Criminal History Checks	AC	AC	AC = The criminal history record has served the immediate purpose for which it was obtained. Caution: An agency that is authorized to obtain criminal history record information from DPS must refer to its agency's legislation or see Subchapter F, Chapter 411, Government Code for appropriate retention and use of the information.	
E.EM-26		Criminal history record information on job applicants or agency employees obtained from the Department of Public Safety (DPS).				
3.1.027		Training and Educational Achievement Records (Individual)	AC+5	AC+5	AC = Termination of employment.	
E.EM-27		Certificates of completion, transcripts, test scores, or similar records documenting the training, testing, or continuing education achievements of an employee.				
3.1.029		Employment Eligibility, Documentation or Verification of	AC+1	AC+1	AC = Termination of employment. CAUTION: Federal regulation requires that INS 1-9 forms be retained for 3 years from date of hire or 1 year after separation of the employee, whichever later. Agencies should make certain that the INS I-9 forms for employees who terminate from an agency less than 3 years from date of hire are kept for the 3 year retention period. 8 CFR 274a.2(b)(2)(i)(A) and (c)(2).	
E.EM-29		Federal reporting form (INS I-9).				
3.1.031		Employee Benefits-Other Than Insurance	AC+2	AC+2	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.	
E.EM-31		Agency copies of information relating to the selection of available benefit options other than insurance.				

STATE OF TEXAS
Records Retention Schedule

SLR 105Form SLR 105C must accompany this form

Page 26 of 41

2. Agency Code: 473 3. Agency Name:

PUBLIC UTILITY COMMISSION OF TEXAS

11. T SLAC
ONLY Amend
No.

4. Records Series Item No	5. Agency Item No	6. Record Series Title	7. Retention Period	8. Archival	9. Remarks	10. 106 No
			Agency Storage AV	Total AV		
3.1.034	Resumes-Unsolicited				SEE item number 3.1.014 for resumes, whether solicited or unsolicited, that are used in any way in the employment selection process.	
E.EM-34		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.				
3.1.035	Performance Bonds		AC+4	AC+4	AC = Expiration or termination of the bond according to its terms.CAUTION: Does not include construction or architectural surety bonds.	
E.EM-35		Bonds posted by employees and individuals or entities under contract with an agency for the performance of the duties of a position or the terms of a contract with the agency.				
3.1.037	Employee Recognition Records		AC+5	AC+5	AC = Termination of employment.	
E.EM-37		Awards, incentives, tenure, etc.				
3.1.038	Public Access Option Form		US	US	SEE item number 3.3.011.	
E.EM-38		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.				
3.2.001	Employee Deduction Authorizations		AC+4	AC+4	AC = After termination of employee or after amendment, expiration, or termination of authorization, whichever sooner.	
E.PA-01		Documentation used to start, modify, or stop all voluntary or required deductions from payroll, including garnishment or other court-ordered attachments.				

STATE OF TEXAS
Records Retention Schedule

SLR 105Form SLR 105C must accompany this form

Page 27 of 41

2. Agency Code: 473 3. Agency Name:

PUBLIC UTILITY COMMISSION OF TEXAS

11. T SLAC
ONLY Amend
No.

4. Records Series Item No	5. Agency Item No	6. Record Series Title	7. Retention Period	8. Archival	9. Remarks	10. 106 No
			Agency Storage	Total		
3.2.002	E.PA-02	Employee Earnings Records	4	4	40 TAC 815.106(i).	
3.2.003	E.PA-03	Federal Tax Records Includes 1099, W2, FICA, and other tax records.	AC+4	AC+4	AC = Tax due date, date the claim is filed, or date tax is paid whichever is later. 26 CFR 31.6001-1(e)(2).	
3.2.004	E.PA-04	Income Adjustment Authorizations Used to make increases or decreases to employees' gross pay, FICA, retirement, or in the computation of taxes.	2	2	29 CFR 516.6(c).	
3.2.005	E.PA-05	W-4 Forms Employer's copy of "Employees' Withholding Exemption Certificate."	AC+4	AC+4	AC = Until superseded, obsolete, or upon separation of employee.26 CFR 31.6001-1 (e)(2).	
3.2.007	E.PA-07	Unemployment Compensation Records	AC+5	AC+5	AC = Receipt of form.	
3.2.008	E.PA-08	Direct Deposit Application/Authorizations	US	US		

STATE OF TEXAS
Records Retention Schedule

SLR 105Form SLR 105C must accompany this form

Page 28 of 41

2. Agency Code: 473 3. Agency Name:

PUBLIC UTILITY COMMISSION OF TEXAS

11. T SLAC
ONLY Amend
No.

4. Records Series Item No	5. Agency Item No	6. Record Series Title	7. Retention Period	8. Archival	9. Remarks	10. 106 No
			Agency Storage	Total		
3.2.009	E.PA-09	State Deferred Compensation Records	AC+5	AC+5	AC = All accounts with a vendor or vendors for the individual participant have been closed. For instructions regarding the determination of the closure of accounts and for additional information regarding the retention period see the most current edition of the Benefits Coordinator Reference Manual issued by the Employees Retirement System of Texas.	
3.3.001	E.PE-01	Affirmative Action Plans Affirmative action plans for both regular employees and apprenticeship programs.	5	5	29 CFR 30.8(e) for apprenticeship plans.	
3.3.004	E.PE-04	Benefit Plans Employee benefit plans such as pension; life, health, and disability insurance; deferred compensation; etc., including amendments.	US+1	US+1	29 CFR 1627.3(b)(2).	
3.3.010	E.PE-10	Labor Statistics Reports Reports providing statistical information on labor force.	3	3		
3.3.011	E.PE-11	Former Employee Verification Records Minimum info needed to verify employment, includes name, SSN, exact dates of employment, last known address and most recent public access option form.	AC+75	AC+75	AC = Termination of employment.SEE item number 3.1.038	
3.3.015	E.PE-15	Positions/Job Classification Review File Records relating to review and monitoring of job classifications within an agency.	US+3	US+3		

STATE OF TEXAS
Records Retention Schedule

SLR 105Form SLR 105C must accompany this form

Page 29 of 41

2. Agency Code: 473

3. Agency Name:

PUBLIC UTILITY COMMISSION OF TEXAS

11. T SLAC
ONLY Amend
No.

4. Records Series No	5. Agency Item No	6. Record Series Title	7. Retention Period		8. Archival	9. Remarks	10. 106 No
			Agency Storage	Total			
3.3.020		Work Schedules/Assignments	1	1			
E.PE-20		Work, duty, shift, crew, or case schedules, rosters, or assignments.					
3.3.022		Texas Workforce Commission (TWC) Reports	3	3			
E.PE-22		Reports to the agency from TWC or its predecessor pertaining to employees.					
3.3.023		Reimbursable Activities, Requests and Authorizations to Engage in	FE+3	FE+3			
E.PE-23		Requests and authorizations for travel; participation in educational programs, workshops, or college classes; or for other work-related activities for which the expenses of the employee are defrayed or reimbursed.					
3.3.024		Personnel Policies and Procedures	US+3	US+3			
E.PE-24		Any internally distributed manuals, guidelines, or similar records that define agency wide policies and procedures concerning the personnel of an agency.					
3.3.025		Job Procedure Records	US+3	US+3			
E.PE-25		Any documents detailing the procedural duties and responsibilities of agency positions on a position-by-position basis.					

STATE OF TEXAS
Records Retention Schedule

SLR 105Form SLR 105C must accompany this form

Page 30 of 41

2. Agency Code: 473

3. Agency Name:

PUBLIC UTILITY COMMISSION OF TEXAS

11. T SLAC
ONLY Amend
No.

4. Records Series Item No	5. Agency Item No	6. Record Series Title	7. Retention Period	8. Archival	9. Remarks	10. 106 No
			Agency Storage	Total		
3.3.026		Agency Staffing Reports	US+3	US+3		
E.PE-26		Any reports compiled by an agency on aspects of personnel staffing, including listings of all staff by program or name; staff hired during a month; detailed listings of employees within its organizational structure, position vacancies, analyses of turnover rates and seasonality of employment, etc.				
3.3.030		Training Administration Records	US+2	US+2	CAUTION: Does not include hazardous material training records.	
E.PE-30		Instructional materials and other records associated with in-house training of agency personnel on personnel policies and procedures and other policies and procedures that govern an agency's programs, services, or projects.				
3.3.031		EEO Reports and Supporting Documentation	3	3	29 CFR 1602.32, 1602.39, 1602.41, 1602.48, and 1602.50.	
E.PE-31		Includes documentation used to complete EEO reports.				
3.4.001		Accumulated Leave Adjustment Requests	FE+3	FE+3		
E.TL-01		Used to create employee leave balances, to transfer leave balances when an employee transfers positions, to adjust carry-over balances on August 31, to correct errors on leave accumulation, and to close out leave accounts on separated employees.				
3.4.002		Leave Status Reports	FE+3	FE+3		
E.TL-02		Cumulative report is issued each pay cycle and provides employee leave status information for each position.				

STATE OF TEXAS
Records Retention Schedule

SLR 105Form SLR 105C must accompany this form

Page 31 of 41

2. Agency Code: 473 3. Agency Name:

PUBLIC UTILITY COMMISSION OF TEXAS

11. T SLAC
ONLY Amend
No.

4. Records Series Item No	5. Agency Item No	6. Record Series Title	7. Retention Period		8. Archival	9. Remarks	10. 106 No
			Agency	Storage	Total		
3.4.003		Less Than Full-Time Worked Reports	4		4	40 TAC 815.106(i).	
	E.TL-03	Dates and hours.					
3.4.004		Overtime Authorizations	2		2		
	E.TL-04						
3.4.006		Time Cards and Time Sheets	4		4	40 TAC 815.106(i).	
	E.TL-06						
3.4.007		Time Off and/or Sick Leave Requests	FE+3		FE+3		
	E.TL-07						
3.4.008		Sick Leave Pool Documentation	FE+3		FE+3		
	E.TL-08	Requests submitted, approvals, number of hours transferred in and out, etc.					
4.1.001		Accounts Payable Information	FE+3		FE+3		
	F.EE-01						
4.1.001		Accounts Payable Information-Credit Card Information	FE+3		FE+3		
	F.EE-01.01	All information on any credit cards issued to PUC and used by PUC employees.					

STATE OF TEXAS
Records Retention Schedule

SLR 105Form SLR 105C must accompany this form

Page 32 of 41

2. Agency Code: 473 3. Agency Name:

PUBLIC UTILITY COMMISSION OF TEXAS

11. T SLAC
ONLY Amend
No.

4. Records Series Item No	5. Agency Item No	6. Record Series Title	7. Retention Period	8. Archival	9. Remarks	10. 106 No
			Agency Storage	Total		
4.1.003		Cancelled Checks/Stubs/Warrants/Drafts F.EE-03	FE+3	FE+3		
4.1.007		Transfers or Budget Revisions F.EE-07 Transfers or adjustment to budgets.	FE+3	FE+3		
4.2		Purchase Vouchers F.EN-00 Requisitions, orders, receiving reports, invoices, or statement, change orders, best value determinations, etc.	FE+3	FE+3	The agency includes item number 4.1.002, 4.2.005, 4.7.011 and 5.5.001 in this record.	
4.2.002		Cash Receipts F.EN-02 Includes receipts for fees (permits, licenses, renewals, etc.).	FE+3	FE+3		
4.2.006		General Journal Vouchers F.EN-06	FE+3	FE+3		
4.2.007		Expenditure Vouchers F.EN-07 Travel, payroll, etc.	FE+3	FE+3		
4.4.001		General and Subsidiary Ledgers F.LE-01	FE+3	FE+3		

STATE OF TEXAS
Records Retention Schedule

SLR 105Form SLR 105C must accompany this form

Page 33 of 41

2. Agency Code: 473 3. Agency Name: PUBLIC UTILITY COMMISSION OF TEXAS

4. Records Series Item No	5. Agency Item No	6. Record Series Title	7. Retention Period	8. Archival	9. Remarks	10. 106 No	11. T SLAC ONLY Amend No.
4.4.002		Accounts Receivable Ledgers F.LE-02	FE+3	FE+3			
4.5.001		Worksheets for Preparing Fiscal Reports F.RP-01	FE+3	FE+3			
4.5.002		Internal Fiscal Management Reports F.RP-02 Includes agency monthly budget reports.	FE+3	FE+3			
4.5.003		Annual Financial Reports F.RP-03 Required by the General Appropriations Act (100 Day Report).	AC+6	AC+6	AC = September 1 of odd-numbered calendar years.CAUTION: If an agency does not produce a biennial or annual narrative report as described in item number 1.1.066, then these annual financial reports must be marked with Archival Code A. The archival requirement, when a biennial or annual narrative report is not produced, is met by sending the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission.		
4.5.005		External Fiscal Reports F.RP-05 Special purpose - i.e. federal financial reports, salary reports, etc. Includes HUB Reports.	FE+3	FE+3			
4.5.006		Annual Operating Budgets F.RP-06 Required by the General Appropriations Act.	FE+3	FE+3			

STATE OF TEXAS
Records Retention Schedule

SLR 105Form SLR 105C must accompany this form

Page 34 of 41

2. Agency Code: 473 3. Agency Name:

PUBLIC UTILITY COMMISSION OF TEXAS

11. T SLAC
ONLY Amend
No.

4. Records Series Item No	5. Agency Item No	6. Record Series Title	7. Retention Period	8. Archival	9. Remarks	10. 106 No
4.5.007	F.RP-07	USAS Reports - Daily	AC	AC	AC = Receipt and reconciliation of monthly report.	
4.5.008	F.RP-08	USAS Reports - Monthly	AC	AC	AC = Receipt and reconciliation of annual report.	
4.5.009	F.RP-09	USAS Reports - Annual	FE+3	FE+3		
4.6.002	F.SC-02	Reconciliations	FE+3	FE+3		
4.6.003	F.SC-03	Cash Counts	FE+3	FE+3		
4.7	F.XR-00	Billings related to Public Utility Commission projects Including Local Exchange Company (LEC) assessment billings, and others.	FE+4	FE+4		
4.7	F.XR-00.01	Universal Service Fund files Files from Third Party Administrator, including monthly financial data, annual audits, etc.	FE+4	FE+4		

STATE OF TEXAS
Records Retention Schedule

SLR 105Form SLR 105C must accompany this form

Page 35 of 41

2. Agency Code: 473

3. Agency Name:

PUBLIC UTILITY COMMISSION OF TEXAS

11. T SLAC
ONLY Amend
No.

4. Records Series Item No	5. Agency Item No	6. Record Series Title	7. Retention Period	8. Archival	9. Remarks	10. 106 No
			Agency Storage	Total		
4.7		Specialized Telecommunications Assistance Program (STAP)	FE+5	FE+5		
F.XR-00.02		Vouchers and invoices from vendors, including annual reports.				
4.7		System Benefit Fund files	FE+4	FE+4		
F.XR-00.03		Files from Retail Electric Providers (REP), including monthly financial data and annual reports.				
4.7.001		Accounting Policies And Procedures Manual	US+3	US+3		
F.XR-01						
4.7.002		Bank Statements	FE+3	FE+3		
F.XR-02						
4.7.004		Capital Asset Records	LA+3	LA+3		
F.XR-04						
4.7.006		Comptroller Statements	FE+3	FE+3		
F.XR-06						
4.7.007		Detail Chart of Accounts	FE+3	FE+3		
F.XR-07		One for all accounts in use for a fiscal year.				

STATE OF TEXAS
Records Retention Schedule

SLR 105Form SLR 105C must accompany this form

Page 36 of 41

2. Agency Code: 473

3. Agency Name:

PUBLIC UTILITY COMMISSION OF TEXAS

11. T SLAC
ONLY Amend
No.

4. Records Series Item No	5. Agency Item No	6. Record Series Title	7. Retention Period	8. Archival	9. Remarks	10. 106 No
			Agency Storage	Total		
4.7.009		Fixed Asset Sequential Number Logs F.XR-09	US+3	US+3		
4.7.012		Signature Authorizations F.XR-12	US+FE+3	US+FE+3	Signature cards or similar records establishing authority of an agency employee to initiate or authorize financial transactions on behalf of an agency.	
5.1.001		Contracts and Leases S.GN-01	AC+4	AC+4	AC = Expiration or termination of the instrument according to its terms. SEE item number 5.1.017 for contract logs.	
5.1.004		Mail and Telecommunications Listings S.GN-04	US	US	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.	
5.1.005		Postage Records S.GN-05	FE+3	FE+3	Records and reports of postage expenses, including postal meter usage.	

STATE OF TEXAS
Records Retention Schedule

SLR 105Form SLR 105C must accompany this form

Page 37 of 41

2. Agency Code: 473 3. Agency Name: PUBLIC UTILITY COMMISSION OF TEXAS

4. Records Series Item No	5. Agency Item No	6. Record Series Title	7. Retention Period	8. Archival	9. Remarks	10. 106 No	11. T SLAC ONLY Amend No.
			Agency Storage	Total			
5.1.012	Charge Schedules/ Price Lists		US+3	US+3			
S.GN-12		Schedules of prices charged by an agency for services to the public or other agencies, including any documentation used to determine the charges.					
5.1.015	Correspondence Tracking Records		1	1			
S.GN-15		Any record created by an agency to track any type of incoming and outgoing correspondence or packages by the U.S. Postal Service or by private couriers.					
5.1.017	Contract Log		FE+3	FE+3			
S.GN-17		List of agency contracts, leases, and agreements including general obligation, land lease, utilities, and construction contracts.					
5.2.006	Property Destruction, Certificates of		FE+3	FE+3			
S.MF-06							
5.2.008	Equipment History File; Equipment Service Agreements		LA+3	LA+3			
S.MF-08		Agreements or contracts between the agency and equipment vendor to provide maintenance service for equipment. Includes requests for installation, moves, service, etc.; and service/repair logbooks, etc.					

STATE OF TEXAS
Records Retention Schedule

SLR 105Form SLR 105C must accompany this form

Page 38 of 41

2. Agency Code: 473

3. Agency Name:

PUBLIC UTILITY COMMISSION OF TEXAS

11. T SLAC
ONLY Amend
No.

4. Records Series Item No	5. Agency Item No	6. Record Series Title	7. Retention Period	8. Archival	9. Remarks	10. 106 No
			Agency Storage	Total		
5.2.009	S.MF-09	Equipment Inventory Detail Report Forms Updates agency portion of the inventory listing and adds, changes, transfers, or deletes items from inventory.	FE+3	FE+3		
5.2.010	S.MF-10	Equipment Manuals	LA	LA		
5.2.011	S.MF-11	Equipment Warranties	AC+1	AC+1	AC = Expiration of Warranty.	
5.2.014	S.MF-14	Inventory-Annual Physical Property, equipment, supply verification.	FE+3	FE+3		
5.2.015	S.MF-15	Inventory, Notices of Equipment Removed From	FE+3	FE+3		
5.2.016	S.MF-16	Inventory System Update Listings Listing shows all additions, changes, deletions, and transfer times for the monthly processing period.	AC	AC	AC = Transfer of information onto annual listing.	
5.2.017	S.MF-17	Lost and Stolen Property Reports	FE+3	FE+3		

STATE OF TEXAS
Records Retention Schedule

SLR 105Form SLR 105C must accompany this form

Page 39 of 41

2. Agency Code: 473

3. Agency Name:

PUBLIC UTILITY COMMISSION OF TEXAS

11. T SLAC
ONLY Amend
No.

4. Records Series Item No	5. Agency Item No	6. Record Series Title	7. Retention Period	8. Archival	9. Remarks	10. 106 No
			Agency Storage	Total		
5.2.019	Service Orders		1	1		
S.MF-19		Agency copy of forms completed by mechanical service personnel for installation or repair. Includes billing code, service, labor, parts, and remarks.				
5.2.021	Surplus Property Sale Reports		FE+3	FE+3		
S.MF-21						
5.2.023	Year-to-Date Activity (Inventory Listing)		FE+3	FE+3		
S.MF-23		Shows additions, changes, transfers, and deletions of information within the inventory system. Data include agency, division, tag number, batch, document, transaction date, location, item code, description, date, and cost.				
5.3.007	Bid Documentation		FE+3	FE+3		
S.PR-07		Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, accepted and rejected bids and proposals, and bid tabulation/evaluations.			CAUTION: If a formal written contract is the result of a successful bid or request for proposal, the successful bid or request for proposal and its supporting documentation must be retained for the same period as the contract. SEE item number 5.1.001.	
5.4.001	Accident Reports and Associated Documentation		CE+5	CE+5		
S.SF-01		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.			29 CFR 1904.33. The Texas Department of Insurance retains copies of the reports submitted to it for 50 years.	

STATE OF TEXAS
Records Retention Schedule

SLR 105Form SLR 105C must accompany this form

Page 40 of 41

2. Agency Code: 473

3. Agency Name:

PUBLIC UTILITY COMMISSION OF TEXAS

11. T SLAC
ONLY Amend
No.

4. Records Series Item No	5. Agency Item No	6. Record Series Title	7. Retention Period	8. Archival	9. Remarks	10. 106 No
			Agency Storage	Total		
5.4.002		Evacuation Plans	US	US		
	S.SF-02	Plans for evacuation of agency facilities in cases of emergency.				
5.4.011		Visitor Control Registers	3	3		
	S.SF-11	Logs, registers, or similar records documenting visitors to limited access or restricted areas of agency facilities.				
5.4.012		Security Access Records	AC+2	AC+2	AC = Until superseded, date of expiration, or date of termination, whichever sooner.	
	S.SF-12	Records relating to the issuance of keys, identification cards, building passes, passwords, signed statements or similar instruments of access to agency facilities, equipment or automated systems.				
5.4.013		Disaster Preparedness and Recovery Plans	US	US		
	S.SF-13					
5.5.002		Long Distance Telephone Logs	AV	AV		
	S.TE-02	Long distance logs created by agencies for internal documentation purposes. Includes any similar logs created for long distance facsimile or electronic transmissions.				
5.5.007		Disputed Call Documentation	FE+3	FE+3		
	S.TE-07	Documentation relating to disputed long distance calls, including documents evidencing repayment by employees for personal long distance use.				

STATE OF TEXAS
Records Retention Schedule

SLR 105 Form SLR 105C must accompany this form

Page 41 of 41

2. Agency Code:	3. Agency Name:	7. Retention Period		8. Archival	9. Remarks	10. 106 No	11. T SLAC ONLY Amend No.
4. Records Series Item No	5. Agency Item No	6. Record Series Title	Agency Storage	Total			
473	PUBLIC UTILITY COMMISSION OF TEXAS						

Total Record : 194

Retention Codes (Field 7)

AC-After Closed, Terminated, Completed, Expired, Settled | CE- Calendar Year End | LA- Life Of Asset | PM- Permanent
 AV-Administrative Value | FE- Fiscal Year End | MO- Months | US- Until Superseded
 SLR 105

Archival Codes (Field 8)

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