

October 7, 2019



Brenda Avila
Archivist III
Public Utility Commission of Texas
1701 N Congress, Room 12-108
Austin TX, 78701

Dear Ms. Avila,

Your agency's records retention schedule is approved for use as of 10/3/2019, and may be accessed on our website at <https://www.tsl.texas.gov/slrn/state/schedules>. Please ensure that all old copies of the schedule are superseded with this certified copy.

This approved retention schedule provides you with continuing authorization to dispose of agency records according to its terms. Please note that state rules (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. The destruction of any records of your agency not on your schedule requires special authorization from us.

Each agency schedule must be reviewed, updated and submitted for recertification annually for the first two years after the initial approval of the schedule and every five years thereafter. The deadline for submission of your schedule for its next recertification is the last working day of **October 2024**.

During a certification period, changes may need to be made to your schedule. State rules (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:

Andrew Glass
512-463-2631
aglass@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,

A handwritten signature in black ink, appearing to read "CK" or similar initials.

Craig Kelso
Director and State Records Administrator

cc: Agency head

Lorenzo de Zavala
State Archives and
Library Building

1201 Brazos Street
Austin, Texas
78701

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

www.tsl.texas.gov

Commission Chairman
Michael C. Waters

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Assistant State Librarian
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TSLAC

Preserving yesterday
Informing today
Inspiring tomorrow



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 06/06/19

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) Glokia Meraz
Date 10/3/19

Cert/Recert No. 9 Amendment No. _____

CAUTION

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

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





STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

Retention Codes (field 7)

AC – See field 9 for specific records series definition
 AV – Administratively valuable
 CE – Calendar year end
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 LA – Life of Asset
 PM – Permanent
 US – Until Superseded

Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
 R/O – Review by State/University Archivist

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					Years	Months	Days				
A.GN-00	1.1	Certificates of Convenience & Necessity (CNN) - Central Records	Actual certificates issued.	PM							
A.GN-00.01	1.1	Certificates of Convenience & Necessity (CNN)-Central Records	Original maps prepared in conjunction with the granting of the CNNs. Also includes folded maps, slides, cassettes and photographs.	AC	35			AC = Date of expiration or termination of certification.	A	ARCHIVES NOTE: After Retention met and transferred to Archives, will no longer be stored at the State Records Center.	
A.GN-00.02	1.1	Applications, Registration & Renewals - Utilities - Central Records	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 = Date of expiration or relinquishment.			



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A.GN-00.06	1.1	Charge Schedules - TARIFFS	Tariff schedules for all utilities, including terms, conditions and rates of utilities' services.	US	10						
A.GN-00.07	1.1	Logbooks - Control Number Logs		PM							
A.GN-00.08	1.1	Logbooks	All logbooks not included in or directly related to other record series in this schedule. Includes division docket assignment logbooks.	AC	3			AC = After Complete.			
A.GN-00.10	1.1	Customer Protection - Complaints Database	Computer database of complaints made by citizen/consumers concerning utilities regulated by the PUC.	AC	5			AC = Final disposition of the complaint.			
A.GN-00.12	1.1	Outage Reports	Outage Report Information from submitted by Service Providers to document a significant interruption of service.	AC	1			AC = Date of outage.			



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A.GN-02.01	1.1.002	Audits - External Compliance	Compliance audits and review performed by the agency on utilities Real Electric Provider (REP), Telecommunications Service Provider (TSP), and Transmission and Distribution Utility (TDU). Includes associated workpapers.	AC	7			AC = Publication or release a final audit findings.			
A.GN-02.02	1.1.002	Audit - External Regulatory	Audits and reviews performed by or on behalf of agency, including the working papers that support the audit. Also includes audits performed on the agency.	AC	7			AC = Publication or release a final audit findings.		The State Auditor's Office retains any copies of its audits performed on Texas State agencies.	
A.GN-02.03	1.1.002	Audits - External Regulatory - Workpapers	Workpapers of regulatory audits and reviews performed by the agency on utilities.	AC	7			AC = Publication or release a final audit findings.			
A.GN-02.04	1.1.002	Audit - External Compliance TUSF	Compliance audits and reviews performed by the agency on vendors and contractors receiving disbursements from the Texas Universal Service Fund.	AC	7			AC = Publication or release of final audit findings.			



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					Years	Months	Days				
A.GN-02.05	1.1.002	Audits- Internal & Other	Includes audits and reviews performed by the agency on internal operations (i.e., Internal Auditors 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.	AC	7			AC = Publication or release of final audit findings.		The State Auditor's Office retains any copies of it audit performed on Texas State Agencies.	
A.GN-04	1.1.004	Legislative Appropriation Requests	Including any supporting documentation created and/or used to justify and support legislative appropriations requests by an agency.	AC	6			AC = September 1 of odd-numbered calendar years.	A	ARCHIVES NOTE: The archival requirement is met by sending required copies of the requests to the Texas state publications depository program, Texas State Library and Archives Commission. Only copies of supporting documentation submitted to the Legislative Budget Board are archival.	



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A.GN-07	1.1.007	Correspondence - Administrative	Incoming/outgoing and internal correspondence pertaining to the formulation, planning, implementation, interpretation, modification, or redefinition of the programs, services, or projects of an agency and the administrative regulations, policies, and procedures that govern them.		4				R	ARCHIVES NOTE: Only the administrative correspondence of executive staff, board or commission members, division directors and program heads require archival review. Contact the state archives That when these records have met their retention periods. CAUTION: This record series and item number 1.1.008 should be used only for correspondence that is not included in or directly related to another record series on the agency's approval schedule. For example, a memorandum that documents an appropriations request must be retained for the minimum retention period prescribed by item number 1.1.004; a letter concerning an audit for the period prescribed by item number 1.1.002, etc. SEE ALSO item number 1.1.011.	



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A.GN-07.01	1.1.007	Correspondence - Administrative - Commissioners	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	4			AC = End of Commissioners term.	A	CAUTION: This record series and item number 1.1.008 should be used only for correspondence that is not included in or directly related to another record series in this schedule. For example, a memorandum that documents an appropriations request must be retained for the minimum retention period prescribed by item number 1.1.004; a letter concerning an audit for the period prescribed item number 1.1.0.2, etc. SEE ALSO item number 1.1.011. ARCHIVES NOTE: The archival code for Laura Saegert, Appraisal Archivist 1996.	



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A.GN-08	1.1.008	Correspondence - General	Non-administrative incoming and outgoing correspondence and internal correspondence that are not transitory and that pertain to or arise from, the routine operations policies, programs, services, or projects of an agency. May be in any medium.		2					SEE comment to item number 1.1.007.	
A.GN-11	1.1.011	Executive Orders	Any document that initiates, rescinds, or amends a regulation, policy, or procedure that governs the programs, services, or projects of an agency.	US	5				A	NOTE: Agency policy to retain longer than TSLAC minimum per Executive office.	



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A.GN-13	1.1.013	Calendars, Appointments, and Itinerary Records	Calendars, appointment books or programs and scheduling, or itinerary records, purchase with state funds are maintained by during business hours that document appointments, itineraries and other activities of agency officials or employees.	CE	1				R	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the State Archives when these records have met their retention periods. CAUTION: A record of this type purchase with personal funds, but use by a state official or employee to document a work activities may be record and subject to this retention period. See Open Records Decision 635 issued in December 1995 by the Atty. Gen.	



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A.GN-14	1.1.014	Legal Opinions and Advice	From agency legal counsel or the Attorney General, including any requests eliciting the opinions.	AV					R	CAUTION: Does not include legal opinion or advice rendered on a matter in litigation or with regard to pending litigation. SEE item number 1.1.048.	
A.GN-19	1.1.019	Public Relations Records	News, press releases, or any public relations files maintained or issued by an agency. Includes print, electronic, audio, and audiovisual records.		2				A	ARCHIVES NOTE: A archival code per Laura Saegert, Appraisal Archivist 1996.	
A.GN-20	1.1.020	Public Information Requests - Not Exempted	Includes all correspondence and documentation relating to requests for records that are furnished to the public under Public Information Act (Chapter 552, Government Code).	AC	1			AC=Date request fulfilled.			
A.GN-21	1.1.021	Public Information Requests - Exempted	Includes all correspondence and documentation relating to requests for records that are exempted under the Public Information Act (Chapter 552, Government Code).	AC	2			AC = Date of notification that records are exempt.			
A.GN-23	1.1.023	Organization Charts		US					A		



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A.GN-24	1.1.024	Plans and Planning Records	Plans and records relating to the process of planning new or redefine programs, services or projects of an agency that are not included in or directly related to other record series in this schedule. Includes BUSINESS PLAN, Texas Universal Service Fund (TUSF) Lifetime Analysis, System Benefit Fund (SBF).	AC	3			AC = Decision made to implement or not implement result of planning process.	R	ARCHIVES NOTE: Data processing planning records are not archival.	
A.GN-26	1.1.026	Texas Register Submissions	Copies of all propose, withdrawn, emergency and adopted rules; open meeting notices; or any other documents required by law to be submitted to the Texas Register.	AC	1			AC = Date of publication to be Texas Register.			
A.GN-27	1.1.027	Proposed Legislation	Drafts of propose legislation and related correspondence.	AV							
A.GN-38	1.1.038	Customer Surveys	Surveys returned by the customers or clients of an agency, and statistical data maintained rating an agency's performance.	AC				AC = Final disposition of summary report.		SEE item number 1.1.067 for summary reports compiled from customer surveys.	
A.GN-40	1.1.040	Speeches, Papers and Presentations	Notes or text of speeches, papers, presentations or reports delivered in conjunction with agency work.	AC				AC = End of term in office or termination of service in a state position.	A	ARCHIVES NOTE: A archival code per Laura Saegert, Appraisal Archivist 1996.	



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A.GN-43	1.1.043	Internal Training Materials - Consumer Information Products	Instructional materials developed by an agency for training entities or individuals it regulates or serves. Customer Protection informational outreach materials for conferences and other events.	US	1						
A.GN-48	1.1.048	Litigation Files	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	1			AC = As applicable, decision of an agency not to file a lawsuit or decision that a lawsuit will not be filed against it on a matter; dismissal of a lawsuit for want of prosecution or on motion of the plaintiff; or final decision of a court (or of a court on appeal, if applicable) in a lawsuit.	R	ARCHIVES NOTE:'s cases that set legal precedents or exhibit historical value will be evaluated by the Archives and Information Services Division of the Texas State Library and Archives Commission for archival preservation.	



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A.GN-00.48	1.1.048	Litigation Files - Ballots for Docketed Administrative Proceedings	Includes all ballots on appeals, motions for rehearing, oral argument, open meeting consent items, etc. Also includes memos discussing ballot disposition.	AC	1			AC = After the date of the Commission's final order and the time for motions for rehearing have passed. If a docket is appealed or otherwise becomes part of civil litigation, the documents become subject to the records series for litigation files - civil litigation.	R	SEE archives note to item number A.GN-48.	
A.GN-00.48.01	1.1.048	Litigation Files -- Book File on Docketed Administrative Proceedings	Includes the application and all supplements and amendments to the application; settlement agreements; all orders; proposals for decision; and attachments and documents incorporated by reference in final orders. Includes contested and uncontested dockets.	PM					R	An example of a document incorporated by reference in a final order is a map or tariff that is approved by the Commission in the ordering paragraphs but is not attached to the order.SEE archives note to item number A.GN-48.	



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					Years	Months	Days				
A.GN-00.48.02	1.1.048	Litigation files - Bullet Points and Memoranda for Docketed Administrative Proceedings	Memoranda or Bullet Points from the Office of Policy and Docket Management or the Office of the Attorney General to the Commissioners on docketed cases. Includes attachments and testimony summaries.	AC	3			AC = After the date of the Commission’s final order and the time for motions for rehearing has passed. But if a docket is appealed or otherwise becomes part of civil litigation, the documents become subject to the records series for civil litigation.	R	SEE archives note to item number A.GN-48.	
A.GN-00.48.04	1.1.048	Litigation Files - Docketed Administrative Proceedings	Includes all documents filed in a docket.	AC	20			AC = After the date of the Commission’s final order and the time for motions for rehearing has passed. But if a docket is appealed or otherwise becomes part of civil litigation, the documents become subject to the records series for litigation files - civil litigation.	R	SEE archives note to item number A.GN-48.	



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A.GN-00.48.06	1.1.048	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 = After the date of Commission's final order and the time for motions for rehearing have passed.	R	SEE archives note to item number A.GN-48. ARCHIVES NOTE: ELC Ballots have no archival value per L. Saegert, Appraisal Archivist on 04/03/03.	
A.GN-00.48.08	1.1.048	Litigation Files - STAFF TESTIMONY WORKPAPERS	Workpapers used in preparation of staff testimony that are not filed in Central Records.	AC	2			AC = After the date of the Commission's final order in the time for motions for rehearing has passed.	R	SEE archives note to item number A.GN-48.	
A.GN-00.48.09	1.1.048	Litigation Files - TARIFFS	Tariffs, Telecom Information Tariff Filings and Cost Studies.	AC	3			AC = After the date of the Commission's final order in the time for motions for rehearing has passed.	R	SEE archives note to item number A.GN-48.	
A.GN-0048.10	1.1.048	Litigation Files - Letters of Credit	Standby Letters of Credit from Retail Electric Providers (REPs) to demonstrate compliance with the requirements of 25.107(f)	PM					R	SEE archives note to item number A.GN-48.	



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A.GN-0048.11	1.1.048	Litigation Files - Civil Litigation	Records created by or on behalf of an agency in anticipation of or in the adjudication of a civil lawsuit. Also includes other litigation files if a docket or project is appealed or otherwise becomes subject to civil litigation. Does not include documents prepared by the Office of the Attorney General for the Commission that the Office of the Attorney General retains as part of one of its record series.	AC	1			AC = As applicable, decision of an agency not to file a lawsuit or decision that a lawsuit will not be filed against it on a matter; dismissal of a lawsuit for want of prosecution or on motion of the plaintiff; or final decision of a court (or court of appeals, if applicable) in a lawsuit.	R	SEE archives note to item number A.GN-48.	



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A.GN-0048.12	1.1.048	Litigation Files - Closed Session Memoranda	Memoranda or bullet points, including attachments, from the Office of Policy and Docket Management or the Office of the Attorney General to the Commissioners for closed session.	AC	1			AC = As applicable, decision of an agency not to file a lawsuit or decision that a lawsuit will not be filed against it on a matter; dismissal of a lawsuit for want of prosecution or on motion of the plaintiff; or final decision of a court (or court of appeals, if applicable) in a lawsuit. In this context, the term lawsuit also includes proceedings at federal agencies, such as the Federal Energy Regulatory Commission.	R	SEE archives note to item number A.GN-48.	
A.GN-53	1.1.053	Registration Logs	Logs or similar records used to register persons appearing before state agencies as required by Chapter 2004, Government Code, including quarterly reports filed with the Texas Ethics Commission.	AC				AC = Reports filed with the Texas Ethics Commission.			



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A.GN-55	1.1.055	Strategic Plans	Information resources and operational strategic plans prepared in accordance with §2054.095 and §2056.002, Government Code.	AC	6			AC = September one of odd - numbered calendar years.	A	ARCHIVES NOTE: The archival requirement is met by sending required copies of the plans to the Texas State Publications Depository Program, Texas State Library and Archives Commission.	
A.GN-56	1.1.056	ADA (Americans with Disabilities Act) Documentation	Self-evaluation and plans documenting compliance with the requirements of the Americans with Disabilities Act.		3						28 CFR 35.105(c)



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A.GN-57	1.1.057	Transitory Information	Records that are not essential to the fulfillment of statutory obligations, the exercise of statutory discretion, or the documentation of agency functions. Annotations on a document that qualifies as transitory information do not change the records series classification of that document if the annotations themselves are not essential to the fulfillment of statutory obligations, the exercise of statutory discretion, or the documentation of agency functions.	AC				AC = Purpose of record has been fulfilled.		Transitory information may be in any medium (voicemail, fax, email, hard copy, etc.). The following are examples of transitory records: <ul style="list-style-type: none"> • outlines, drafts, and working copies produced in the preparation of a final document that is part of an ongoing records series; • routing slips; • internal meeting notices; • telephone-message notifications; • reminder notes; • records containing purely personal messages; • copies of documents that another PUC employee is required to retain; • copies created for convenience or reference purposes; • emails conveying an attachment (providing it does not add value to the attachment); • requests to call someone and similar communications; • announcements of social events; • advertising material; and • free subscription publications that are not retained by the library. CAUTION: This records series should be assigned only to a record that is not part of another records series listed in this schedule. (For example, certain workpapers are included in the following records series: audits [1.1.02; A.GN-02.01, 02.02, 02.03]; litigation files – Staff testimony work papers [1.1.048; A.GN-00.48.08]; and agency rules, policies, and procedures – working files [1.1.071; A.GN-71].) The disposal of transitory information does not need to be documented.	



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A.GN-58	1.1.058	Meeting Agenda and Minutes	Official agenda and minutes of state boards, committees, commissions, and councils that conduct open meetings is required by Government Code, Chapter 551.	PM					A	ARCHIVES NOTE: Agency retains permanent record copy. The archival requirement will be met by sending a copy to the Archives and Information Services Division, Texas State Library and Archives Commission.	
A.GN-59	1.1.059	Meetings, Certified Agendas Or Tape Recordings of Closed	Certified agendas or tape recordings of close meetings of state boards, commissions, committees, and councils.	AC	2			AC = The date of meeting or completion of pending action involving the meeting, whichever is later.			Government Code, 551.104(a).



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A.GN-60	1.1.060	Meetings, Audio or Videotapes of Open	Audio or videotapes of open meetings of state boards, commissions, committees, and councils.	AC			90	AC = Official approval of written minutes of the meetings 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.	
A.GN-62	1.1.062	Meetings - Supporting Documentation	Documents submitted at meetings of state boards, commissions, committees, and councils including exhibit items, documentation for agenda items, etc. includes documents sent in advance of meetings for briefing purposes, some of which may not be submitted at actual meeting.		2				A		



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A.GN-63	1.1.063	Staff Meeting Minutes and Notes	Minutes or notes, and supporting documentation, taken at internal agency staff meetings.		1						
A.GN-64	1.1.064	Agency Performance Measures Documentation	Any records of an agency needed for documentation of output, outcome, efficiency, and explanatory measures in agencies appropriations request or strategic plan, and for performance measures used to manage the agency.	FE	3					CAUTION: The FE + 3 retention period overrides any shorter retention. For a record series in this schedule if the record series is needed for documentation of agency performance measures.	



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A.GN-65	1.1.065	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						CAUTION: Does not include source documentation used for information or data included in or directly related to other record series in this schedule. SEE especially item number 1.1.064.	



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A.GN-66	1.1.066	Reports - Biannual 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 = September one of odd numbered calendar years.	A	ARCHIVES NOTE: The archival requirement is met by sending required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission.	
A.GN-67	1.1.067	Reports and Studies (Non-Fiscal)	Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or 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.		3				R	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 electric industry of Texas.	



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					Years	Months	Days				
A.GN-67.02	1.1.067	Reports and Studies (Non-Fiscal) - - Interlibrary Loan Records	Record of Lending/Borrowing between PUC library and other libraries.	AC	5			AC = Retention period determined by interlibrary loan agreement.	E	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.	
A.GN-67.03	1.1.067	Reports and Studies (Non-Fiscal) - Library Circulation Records	Includes Library circulation records. Chapter 552 of the Government Code excepts library circulation records from public disclosure.		3				E	E=7/31/02 - Authority to remove the archival code "R" given by Appraisal Archivist, Laura Saegert.	
A.GN-67.04	1.1.067	Reports and Studies (Non-Fiscal) - Earnings Monitoring Reports		AC	3			AC=After the date of the Commission's final order in time for motions for rehearing have passed.	A	NOTE: Agency policy to retain longer than TSLAC minimum per Central Records.	
A.GN-68	1.1.068	Reports on Performance Measures	Quarterly and annual reports on agency performance measures submitted to executive and legislative offices.	AC	6			AC=September 1 of odd-numbered calendar years.			



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A.GN-69	1.1.069	Reports - Activity	Reports compiled by agency personnel on a daily or other periodic basis pertaining to workload monitoring, task completion times, number of public contacts, and similar activities.		1					CAUTION: see item number 1.1.064	
A.GN-70	1.1.070	Agency Rules, Policies, and Procedures - Final	Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern and agencies programs, services, or projects.	AC	3			AC = Completion or termination of program, rules, policies, or procedures.	A	SEE ALSO Agency Rules, Policies and Procedures - Working Files item number 1.1.071. ARCHIVES NOTE: Archival code per Laura Saegert, Appraisal Archivist 1996 not to include personnel manuals.	



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A.GN-71	1.1.071	Agency Rules, Policies, and Procedures - Working Files	Working files used in the development of manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or to those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern and agencies programs, services, or projects.	AC	3			AC = Completion or termination of program, rules, policies, or procedures.	E	SEE ALSO: Record series item number 1.1.070. ARCHIVES NOTE: Archival code removed subsequent to appraisal instructions by the Archives and Information Services Division, Laura Saegert, December 14, 2007. Per 1996 review, not to include personnel manuals.	
A.GN-72	1.1.072	Public Information Reports	Reports made to Office of the Atty. Gen. Audit Agencies Public Information Act activities.		2						
A.GN-73	1.1.073	Administrative Hearings	Transcripts and final decisions of hearings conducted as part of the regulatory process, and hearings on propose rules and changes. The records may be maintained with related information including meeting notices, proofs of publication, and meeting minutes.	AC	3			AC = Last Action.	R		
A.GN-74	1.1.074	Sunset Review Report and Documentation		AC	3			AC = After the subsequent Sunset Review.	R		



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A.RM-01	1.2.001	Destruction Authorizations	Agencies level documents authorizing final disposition of records under a certified records retention schedule.	FE	3						
A.RM-04	1.2.004	Forms Inventory	Any periodic listing of all forms used internally or externally by an agency.	US							
A.RM-05	1.2.005	Records Retention Schedule (SLR 105)	Agency copy. Formally RMD 105. Includes documentation of certification and approval - forms SLR 105C (formerly RMD 105C) and/or other forms designated by the State Records Administrator.	US						Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission.	
A.RM-06	1.2.006	Records Transmittal Forms	Agency copy (includes RMD 101, Tx-R-5, 306-58-1, And Agency Storage Forms). Forms indicate records transferred to storage or transfer of legal custody.	AC	2			AC = date of authorization for destruction, permanent transfer from storage, or transferred to the Archives and Information Services Division, Texas State Library and Archives Commission, by the agency records management officer.			



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A.RM-08	1.2.008	Request for Authority to Dispose of State Records (RMD 102)	Agency copy.	FE	3					Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission.	
A.RM-10	1.2.010	Records Disposition Logs	Logs or similar records listing records destroyed or transferred to the Archives and Information Services Division, Texas State Library, showing record series title, dates of records, and date destroyed or transferred.		10						
A.RM-11	1.2.011	Records Center Storage Approval Forms (RMD 106)	Agency copy.	US							
A.RM-12	1.2.012	Records Inventory Worksheets		US							
A.RM-13	1.2.013	Records Control Locator Aids	Includes indexes, card files, shelf lists, registers, guides, etc.	AC				AC = When control aid is updated, revise, or no longer needed.		CAUTION: These records must carry the same retention period and archival code of the records they support.	



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A.RM-14	1.2.014	Records Management Plans	Records management plans and similar records that establish the policies and procedures under which records and information are managed in an agency.	US	1						
A.RM-15	1.2.015	Disaster Recovery Service Transmittals (RMD 109)	Also includes documentation for disaster recovery services provided by other entities.	FE	1						
A.RM-16	1.2.016	Disaster Recovery Service Approval Form (RMD 113)	Agency copy of form.	AC				AC = Until superseded or termination of service.			



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A.SP-01	1.3.001	State Publications	One copy of each day 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 and this schedule. For example, a meeting agenda (see item number 1.1.058) also meets the definition, but it must be retained permanently; item number 1.1.004, 1.1.055, 1.1.066, 1.1.068, and 4.5.003, which also made the definition, are closely associated with the appropriations process and must be retained AC+6.	AC	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 capitalized that, by law (Government Code 441.101 - 441.106). The Texas State Library and Archives Commission will retain a copy of all state publications submitted to it on a continuing basis, subject to periodic evaluation to determine if the publication merits further retention. For additional information and requirements concerning state publications made available to the public through the Internet, consult the administrative rules of the Texas State Publications Depository Program Of the Texas State Library and Archives Commission (13 TAC 3.1 - 3.16).	



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A.SP-02	1.3.002	Publication Development Files	Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV					R		
AR.A-01	2.1.001	Processing Files	Machine-readable files used in the creation, utilization, and updating of master files.	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 and the files do not fall under record series listed elsewhere.	



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AR.A-02	2.1.002	Master Files	Relatively long-lived computer files containing organized and consistent sets of complete and accurate electronic records. Examples include, but are not limited to, data tables of relational databases used by applications or computer programs.	AC				AC = Completion of 3rd verification cycle or audit completion confirming successful transaction updates, or required audit trail maintenance, or the ability to restore or migrate when errors are detected or when hardware or software changes occur.		CAUTION: Records management officers must be certain before assigning the retention period of AC to agency automated processing files that the files do not fall under record series listed elsewhere.	
AR.A07	2.1.007	Software Programs	Automated software applications and operating system files including job control language, program listings/source code, etc.	AC				AC = Until electronic records are transferred to and made usable to a new software or there are no electronic records being retained to meet an approved retention period that require the software to be retrieved and read.		CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.	13 TAC 6.94.



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					Years	Months	Days				
AR.A-08	2.1.008	Hardware Documentation	Records documenting operational and maintenance requirements of computer hardware such as operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems.	AC				AC = Until electronic records are transferred to and made usable in a new hardware environment or there are no electronic records being retained to meet an approved retention period that require the hardware to be retrieved and read.		CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.	13 TAC 6.94.



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AR.A-09	2.1.009	Technical Documentation	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.	AC				AC = Until electronic records are transferred to and made usable in a new hardware or software environment with new documentation or there are no electronic records being retained to meet an approved retention period that require the documentation to be retrieved and read.		CAUTION:'s Software needed for access to electronic records must be retained for the period of time required to access the records.	13 TAC 6.94.



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AR.C-16	2.2.016	Software Registrations, Warranties and License Agreements		LA	3						
E.EM-00	3.1	Personnel Administration - Database	Database of personnel records.	FE	5						
E.EM-01	3.1.001	Application for Employment - Not Hired	Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment of advertisement.		2						29 CFR 1602.31
E.EM-02	3.1.002	Applications for Employment - Hired	Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form by application procedures or in the employment advertisement.	AC	5			AC=Termination of employment.			



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E.EM-14	3.1.014	Employment Selection Records	Includes notes of interviews with candidates, questions asked of applicants, audio and videotapes of job interviews, driving record and previous injury checks, pre-employment physical examinations, pre-employment drug screening test results, polygraph examination results; and all other records that document the selection process.		2					CAUTION: Does not include criminal history checks. SEE item number 3.1.026.	29 CFR 1602.31
E.EM-18	3.1.018	Grievance Records	Records relating to the review of employee grievances against personnel policies, working conditions, etc.	AC	2			AC = Final decisions of the grievance.		CAUTION: Does not include formal complaints filed by an agency employee with the Equal Employment Office (EEO) of the US Department of Labor. SEE item number 1.1.048.	
E.EM-19	3.1.019	Performance Appraisals		AC	5			AC = Termination of employment.		NOTE: Agency policy to retain longer than TSLAC minimum per Human Resources.	29 CFR 1620.32(c).



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E.EM-20	3.1.020	Personal Corrective Action Documentation	Corrective actions are those actions which do not affect pay, status, or tenure and are imposed to correct or improve an employee's job performance.	AC	5			AC = Termination of corrective action.		CAUTION: If, during the retention period of this record series, any part of this series is used to document and support personnel disciplinary action under item number 3.1.021, all documentation from the series used to support disciplinary action must be retained for the minimum retention period described by item number 3.1.021.	



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E.EM-21	3.1.021	Personnel Disciplinary Action Documentation	Disciplinary actions are those actions which may affect pay, status, or tenure. They are imposed to discipline an employee whose conduct is harmful to the best interests of the state, the agency, or the employee work force; and for failure to improve performance or conduct following imposition of corrective action. May include cause for demotion, suspension, or dismissal, and the reasons for failure to give written notice of resignation. May also be used to document evidence of employee self-improvement efforts, as well as favorable and unfavorable communication.	AC	5			AC = Termination of employment.			



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E.EM-22	3.1.022	Personnel Information or Action Forms	Forms or similar records used to create or change information concerning the records of an employee including pay grade, position classification, employee number, evaluation date, and termination of employment.		2						29 CFR 1602.31
E.EM-23	3.1.023	Position/Job Descriptions	Job descriptions, including all associated task or skill statements, for positions in an agency.	AC	4			AC = Until superseded or job eliminated.			40 TAC 815.106(i).
E.EM-26	3.1.026	Criminal History Checks	Criminal history record information on job applicants or agency employees obtained from the Department of Public Safety (DPS).	AC				AC = The criminal history record has served the immediate purpose for which it was obtained.		CAUTION: An agency that is authorized to obtain criminal history record information from DPS must refer to its agencies legislation or see Subchapter F, Chapter 411, Government Code for appropriate retention and use of this information.	



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E.EM-27	3.1.027	Training and Educational Achievement Records (Individual)	Certificates of completion, transcripts, test scores, or similar records documenting the training, testing, or continuing education achievements of an employee.	AC	5			AC=Termination of employment.			
E.EM-29	3.1.029	Employment Eligibility, Documentation or Verification of	Federal reporting form (INS I-9)	AC	1			AC=Termination of employment.		CAUTION: Federal regulation requires that INS I-9 forms be retained for 3 years from date of hire or 1 year after separation of the employee, whichever later. Agencies should make certain that the INS I-9 forms for employees who terminate from the agency less than 3 years from date of hire are kept for 3 years retention period.	8 CFR 2a.2(b)(2)(i)(a) and (c)(2).
E.EM-31	3.1.031	Employee Benefits - Other Than Insurance	Agency copies of information relating to the selection of available benefit options other than insurance.	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.	



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E.EM-34	3.1.034	Resumes - Unsolicited	Retention period applies if an agency replies to the sender of a resume that will be kept on file should future job openings occur.	AV						SEE item number 3.1 .0144 resumes, whether solicited or unsolicited, that are used in any way employment selection process.	
E.EM-37	3.1.037	Employee Recognition Records	Awards, incentives, tenure, etc.	AC	5			AC=Termination of employment.			
E.EM-38	3.1.038	Public Access Option Form	Form completed and signed by employees or official, or former employee or official, electing to keep home address, home telephone number, Social Security number, and family information open or confidential under the Public Information Act, Government Code §552.024.	US						See item number 3.3.011.	
E.PA-01	3.2.001	Employee Deduction Authorizations	Documentation used to start, modified, or stop all voluntary or required deductions from payroll, including garnishment or other court-ordered attachments.	AC	4			AC = After termination of employee or after amendment, expiration, or termination of authorization, whichever is sooner.			



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E.PA-002	3.2.002	Employee Earnings Records			4						40 TAC 815.106(i).
E.PA-03	3.2.003	Federal Tax Records	Includes 1099, W2, FICA, and other tax records.	AC	4			AC = Tax due date, date the claim is filed, or date the tax is paid, whichever is later.			29 CFR 31.6001-1(e)(2).
E.PA-04	3.2.004	Income Adjustment Authorizations	Used to make increases or decreases to employee's gross pay, FICA, retirement, or in the computation of taxes.		2						29 CFR 516.6(c).
E.PA-05	3.2.005	W-4 Forms	Employer's copy of "Employees' Withholding Exemption Certificate."	AC	4			AC = Until superseded, obsolete, or upon separation of employee.			29 CFR 31.6001-1(e)(2).
E.PA-07	3.2.007	Unemployment Compensation Records		AC	5			AC=Receipt of form.			
E.PA-08	3.2.008	Direct Deposit Application/Authorizations		US							



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E.PA-09	3.2.009	State Deferred Compensation Records		AC	5			AC = All accounts with a vendor or vendor words for the individual participant have been closed.		For instructions regarding the determination of the closure of accounts and for additional information regarding the retention period see the most current edition of the Benefits Coordinator Reference Manual issued by the Employees Retirement System of Texas.	
E.PE-01	3.3.001	Affirmative Action Plans	Affirmative action plans for both regular employees and apprenticeship programs.		5						29 CFR 30.8(e) for apprenticeship plans.
E.PE-04	3.3.004	Benefit Plans	Employee benefit plans such as pension; life, health, and disability insurance; deferred compensation; etc., Including amendments.	US	1						29 CFR 1627.3(b)(2).
E.PE-10	3.3.010	Labor Statistic Reports	Reports providing statistical informational labor force.		3						
E.PE-11	3.3.011	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 = Termination of employment.		SEE item number 3.1.038.	



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E-PE-15	3.3.015	Position/Job Classification Review File	Records relating to review and monitoring of job classifications within an agency.	US	3						
E.PE-20	3.3.020	Work Schedule/Assignments	Work, duty, shift, crew, or case schedules, rosters, or assignments.		1						
E.PE-22	3.3.022	Texas Workforce Commission (TWC) Reports	Reports to the agency from TWC or its predecessor pertaining to employees.		3						
E.PE-23	3.3.023	Reimbursable Activities, Requests and Authorizations to Engage in	Requests and authorizations for travel; participation in educational programs, workshops, or college classes; or for other work-related activities for which the expenses of the employee are defrayed or reimbursed.	FE	3						
E.PE-24	3.3.024	Personnel Policies and Procedures	Any internally distributed manuals, guidelines, or similar records that define agency wide policies and procedures concerning the personnel of an agency.	US	3						



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E.PE-25	3.3.025	Job Procedure Records	Any documents detailing the procedural duties and responsibilities of agency positions on a position-by-position basis.	US	3						
E.PE-26	3.3.026	Agency Staffing Reports	Any reports compiled by an agency on aspects of personnel staffing, including listings of all staff by program or name; staff hired during a month; detailed listings of employees within its organizational structure, position vacancies, analysis of turnover rates and seasonality of employment, etc.	US	3						
E.PE-30	3.3.030	Training Administration Records	Instructional materials and other records associated with in-house training of agency personnel on personnel policies and procedures and other policies and procedures that govern and agencies programs, services, or projects.	US	2					CAUTION: Does not include hazardous materials training records.	



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E.PE-31	3.3.031	EEO Reports and Supporting Documentation	Include documentation used to complete EEO reports.		3						29 CFR 1602.32, 1602.39, 1602.41, 1602.48, and 1602.50.
E.TL-01	3.4.001	Accumulated Leave Adjustment Requests	Used to create employee leave balances, to transfer leave balances when an employee transfers positions, to adjust carry over balances on August 31, to correct errors on leave accumulation, and to close out leave accounts on separated employees.	FE	3						
E.TL-03	3.4.003	Less Than Full-Time Work Reports	Dates and hours.		4						40 TAC 815.106(i).
E.TL-04	3.4.004	Overtime Authorizations			2						
E.TL-06	3.4.006	Timecards and Timesheets			4						40 TAC 815.106(i).
E.TL-07	3.4.007	Time Off and/or Sick Leave Requests		FE	3						
E.TL-08	3.4.008	Sick Leave Pool Documentation	Requests submitted, approvals, number of hours transferred in and out, etc.	FE	3						



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F.EE-01	4.1.001	Accounts Payable Information		FE	3						
F.EE-01.01	4.1.001	Accounts Payable Information - Credit Card Information	All information on any credit cards issued to PUC and use by the PUC employees.	FE	3						
F.EE-03	4.1.003	Canceled Checks/Stubs/Warrants/Drafts		FE	3						
F.EE-07	4.1.007	Transfers or Budget Revisions	Transfers adjustment to budgets.	FE	3						
F.EN-00	4.2	Purchase Vouchers	Requisitions, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE	3					The agency includes item number 4.1.002, 4.2.005, 4.7.011 and 5.5.001 and this record.	
F.EN-02	4.2.002	Cash Receipts	Includes receipts for fees (permits, licenses, renewals, etc.).	FE	3						
F.EN-06	4.2.006	General Journal Vouchers		FE	3						
F.EN-07	4.2.007	Expenditure Vouchers	Travel, payroll, etc.	FE	3						
F.LE-01	4.4.001	General and Subsidiary Ledgers		FE	3						
F.LE-02	4.4.002	Accounts Receivable Ledgers		FE	3						



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F.RP-01	4.5.001	Worksheets for Preparing Fiscal Reports		FE	3						
F.RP-02	4.5.002	Internal Fiscal Management Reports	Includes agency monthly budget reports.	FE	3						
F.RP-03	4.5.003	Annual Financial Reports	Required by the General Appropriations Act (100 Day Report).	AC	6			AC = September one of odd-numbered calendar years.		CAUTION: If an agency does not produce a biannual or annual narrative report is described and item number 1.1.066, then these annual financial reports must be marked with Archival Code A. The archival requirement, when a biannual or annual narrative report is not produced, is met by sending required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission.	
F.RP-05	4.5.005	External Fiscal Reports	Special-purpose - i.e. federal financial reports, salary reports, etc. includes HUB Reports	FE	3						



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F.RP-06	4.5.006	Annual Operating Budgets	Required by the General Appropriations Act.	FE	3						
F.RP-07	4.5.007	USAS Reports - Daily		AC				AC=Receipt and reconciliation of monthly report.			
F.RP-08	4.5.008	USAS Reports - Monthly		AC				AC=Receipt and reconciliation of annual report.			
F.RP-09	4.5.009	USAS Reports - Annual		FE	3						
F.SC-02	4.6.002	Reconciliations		FE	3						
F.XR-00	4.7	Buildings Related to Public Utility Commission Projects	Including Local Exchange Company (LEC) assessment billings, and others.	FE	4						
F.XR-00.01	4.7	Universal Service Fund Files	Files from 3rd Party Administrator, including monthly financial data, annual audits, etc.	FE	4						
F.XR-00.02	4.7	Specialize Telecommunications Assistance Program (STAP)	Vouchers and invoices from vendors, including annual reports.	FE	5						
F.XR-00.03	4.7	System Benefit Fund Files	Files from Retail Electric Providers (REP), including monthly financial data and annual reports.	FE	4						



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F.XR-01	4.7.001	Accounting Policies and Procedures Manual		US	3						
F.XR-02	4.7.002	Bank Statements		FE	3						
F.XR-04	4.7.004	Capital Asset Records		LA	3						
F.XR-07	4.7.007	Detailed Chart of Accounts	One for all accounts in use for a fiscal year.	FE	3						
F.XR-09	4.7.009	Fixed Asset Sequential Number Logs		US	3						
F.XR-12	4.7.012	Signature Authorizations	Signature cards or similar records establishing authority of an agency employee or initiate or authorize financial transactions on behalf of an agency.	AC	3			AC = US + FE			



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S.GN-01	5.1.001	Contracts and Leases	Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. May also include other applicable documentation in the master contract file per Texas Comptroller of Public Accounts Contract Management Guide.	AC	7			AC = Expiration or termination of the instrument according to its terms.		SEE related item number 5.3.007 Bid Documentation. SEE item number 5.1.017 for contract logs. Government Code, 441.1855	
S.GN-04	5.1.004	Mail And Telecommunications Listings	Any mailing address, telephone or fax number, or email address records maintained by an agency on its employees or on entities or persons it serves.	US							
S.GN-05	5.1.005	Postage Records	Records and reports of postage expenses, including postal meter usage.	FE	3						



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Retention Codes (field 7)

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 AV – Administratively valuable
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 LA – Life of Asset
 PM – Permanent
 US – Until Superseded

Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
 R/O – Review by State/University Archivist

1. Agency Code: 473		2. Agency Name: Texas Public Utility Commission									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
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S.GN-12	5.1.012	Charge Schedules/Price Lists	Schedules of prices charged by an agency for services to the public or other agencies, including any documentation used to determine the charges.	US	3						
S.GN-15	5.1.015	Correspondence Tracking Records	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.		1						
S.GN-17	5.1.017	Contract Log	List of agency contracts, leases, and agreements including general obligation, land lease, utilities, and construction contracts.	FE	3						
S.MF-06	5.2.006	Property Destruction, Certificates of		FE	3						
S.MF-09	5.2.009	Equipment Inventory Detail Report Forms	Updates agency portion of the inventory listing and adds, changes, transfers, or deletes items from inventory.	FE	3						
S.MF-10	5.2.010	Equipment Manuals		LA							
S.MF-11	5.2.011	Equipment Warranties		AC	1			AC = Expiration of Warranty.			



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S.MF-14	5.2.014	Inventory - Annual Physical	Property, equipment, supplies verification.	FE	3						
S.MF-15	5.2.015	Inventory, Notices of Equipment Removed from		FE	3						
S.MF-16	5.2.016	Inventory System Update Listings	Listing shows all additions, changes, deletions, and transfer times for the monthly processing period.	AC				AC=Transfer of information onto annual listing.			
S.MF-17	5.2.017	Lost and Stolen Property Reports		FE	3						
S.MF-21	5.2.021	Surplus Property Sales Reports		FE	3						
S.MF-23	5.2.023	Year-to-Date Activity (Inventory Listing)	Shows additions, changes, transfers, and deletions of information within the inventory system. Data include agency, division, tag number, batch, documents, transaction date, location, item code, description, date, and cost	FE	3						



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					Years	Months	Days				
S.PR-07	5.3.007	Bid Documentation	Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, successful and unsuccessful bids, and bid tabulation/evaluations. Associated with a contract executed, renewed, or amended on or after September 1, 2015.	AC	7			AC=Expiration or termination of the instrument according to its terms or decision not to proceed with the bid.			
S.PR-07.01	5.3.007	Bid Documentation	Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, successful and unsuccessful bids, and bid tabulation/evaluations. Associated with a contract executed, renewed, or amended on or before August 31, 2015.	FE	3						



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S.PR-07.02	5.3.007	Bid Documentation	Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, successful and unsuccessful bids, and bid tabulation/evaluations. Unsuccessful bids that do not meet agency submission requirements and are not included in bid evaluation process (e.g. withdrawn, missed submission deadline, incomplete submission, etc.).	AC	2			AC=Date of notification of denial or date of withdrawal, as applicable.			
S.PR-09	5.3.009	Request for Information	Requests for information preliminary to the procurement of goods or services by direct purchase or bid.	AC				AC = Decision not to proceed with the procurement.		CAUTION: If the request for information leads to request for proposal or bid, the request for information documentation should be retained in accordance with item number 5.3.007.	



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					Years	Months	Days				
S.SF-01	5.4.001	Accident reports That and Associated Documentation	Accident or occupational disease reports (by supervisors and employees) in other associated reports required to be submitted to the Texas Department of Insurance That or its predecessors or maintained internally on accident frequency.	CE	5					The Texas Department of Insurance retains copies of the reports submitted to it for 50 years.	29 CFR 1904.33.
S.SF-02	5.4.002	Evacuation Plans	Plans for evacuation of agency facilities in case of emergency.	US							
S.SF-11	5.4.011	Visitor Control Registers	Logs, registers, or similar records documenting visitors to limited access or restricted areas of agency facilities.		3						
S.SF-12	5.4.012	Security Access Records	Records relating to the issuance of keys, identification cards, building passes, passwords, signed statements or similar instruments of access to agency facilities, equipment or automated systems.	AC	2			AC = Until superseded, date of expiration, or date of termination, which ever sooner.			
S.SF-13	5.4.013	Disaster Preparedness and Recovery Plans		US							



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					Years	Months	Days				
S.TE-07	5.5.007	Disputed Call Documentation	Documentation relating to disputed long distance calls, including documents evidencing repayment by employees for personal log distance use.	FE	3						