

August 23, 2022



Janalee Paiz
HR Director
Office of Public Utility Counsel
1701 N. Congress, #9-180
Austin, TX, 78701

Dear Janalee Paiz,

Your agency's records retention schedule is approved for use as of **8/16/2022**, and it 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 Please ensure that all old copies of the schedule are superseded with this certified copy.

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 Chair
Martha Wong

Members

David C. Garza
F. Lynwood Givens
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Arthur T. Mann
Bradley S. Tegeler
Darryl Tocker

Director and Librarian
Gloria Meraz

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 according to a timeline established by the Texas State Library and Archives Commission. Your next recertification is scheduled for **August 2027**.

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:

Rebecca Hanna
rhanna@tsl.texas.gov
512-463-5494

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 blue ink, appearing to read "Craig Kelso".

Craig Kelso
Director and State Records Administrator

cc: Agency head

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 475
Agency Name Office of Public Utility Counsel (OPUC)

(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 Janalee L. Paiz
Name (Print or type) Janalee L. Paiz
Date 4/26/2021

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 Gloria Mejia
Name (Print or type) Gloria Mejia
Date 8/16/22

Cert/Recert No. 8 Amendment No.

CAUTION

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

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

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

State and Local Records Management Division
Texas State Library and Archives Commission
(Rev. 7/20)





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
 FE – Fiscal year end
 LA – Life of Asset
 PM – Permanent
 US – Until Superseded

Archival Codes (Field 10)

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

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					Years	Months	Days				
1	1.1.002	Audits	Audits and reviews performed on the agency, including the working papers that support the audit.	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.	
2	1.1.004	Legislative Appropriation Requests (LAR)	Including any supporting documentation created and/or used to justify and support legislative appropriations request by an agency.	AC	6			AC = September 1 of odd-numbered calendar years.		ARCHIVES NOTE: The final version of Legislative Appropriation Requests must be submitted to the Texas State Publications Depository Program per 13 TAC 3.3(a)(3)(A). Working files and related documentation used in creating the final plan are not subject to archival review and may be disposed of at the expiration of the retention period	
3	1.1.006	Complaint and Feedback Records	Complaints and other unsolicited feedback received by an agency from the public concerning the agency and records pertaining to the resolution of complaints.	AC	2			AC = Date of receipt, action taken, or final disposition of the complaint, whichever comes last.		CAUTION: If a complaint becomes the subject of litigation, it must be included in and is subject to the minimum retention period of item number 1.1.048.	



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4	1.1.007	Correspondence - Administrative	Incoming/outgoing and internal leadership, supervisory, managerial, executive, administrative, substantive, and other high-level correspondence in any media, including electronic communication, pertaining to the formulation, planning, implementation, interpretation, modification, or redefinition of the programs, services, or projects of an agency and the administrative regulations, policies, and procedures that govern them.		4				R	<p>ARCHIVES NOTE: Only the administrative correspondence of executive staff, board or commission members, division directors and program heads require archival review. Contact the State Archives when these records have met their retention periods.</p> <p>CAUTION: This records series and RSIN 1.1.008 should be used only for correspondence that is not included in or directly related to another records series on the agency's approved schedule. For example, a memorandum that documents an appropriations request must be retained for the minimum retention period prescribed by RSIN 1.1.004; a letter concerning an audit for that prescribed by RSIN 1.1.002, etc.</p>	



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5	1.1.008	Correspondence – General	Non-administrative incoming/outgoing and internal correspondence, in any media, including electronic communication, pertaining to or arising from the routine operations of the policies, programs, services, or projects of an agency.		2					See comment to RSIN 1.1.007. See also RSIN 1.1.010.	
6	1.1.010	Directives	Any document that officially initiates, rescinds, or amends general office procedures.	US	1						
7	1.1.013	Calendars, Appointment and Itinerary Records	Calendars, appointment books or programs and scheduling, or itinerary records maintained by staff during business hours that document appointments, itineraries, and other activities of agency officials or employees.	CE	1				R	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the State Archives when 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	



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8	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 opinions or advice rendered on a matter in litigation or with regard to pending litigation, or opinions rendered for Public Information Act Requests. See RSIN 1.1.048, 1.1.020, and 1.1.021. ARCHIVES NOTE: Opinions and advice 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. S	
9	1.1.020	Public Information Requests – Not Excepted	Includes all correspondence and documentation relating to requests for records that are furnished to the public under Public Information Act (Chapter 552, Government Code). Also includes withdrawn requests.	AC	1			AC = Date request fulfilled or withdrawn.			
10	1.1.021	Public Information Requests – Excepted	Includes all correspondence and documentation relating to requests for records that are excepted under the Public Information Act (Chapter 552, Government Code), including records provided to the legislature under section 552.008	AC	2			AC = Date of notification that records are excepted.			



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11	1.1.026	Texas Register Submissions	Copies of all open meetings notices; or any other documents required by law to be submitted to the Texas Register.	AC	1			AC = Date of publication in the Texas Register.			
12	1.1.038	Customer Surveys	Surveys soliciting feedback from customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC				AC = Final disposition of summary report, or date of decision not to produce a report, as applicable.		See RSIN 1.1.067 for summary reports compiled from customer surveys.	
13	1.1.040	Speeches, Papers, & Presentation	Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	2			AC= End of event, until superseded, or obsolete.	R	ARCHIVES NOTE: Only speeches, papers, and presentations given by or on behalf of executive staff, board or commission members, division directors and program heads require archival review.	
14	1.1.048	Litigation Files	Records created by or on behalf of an agency in anticipation of or in the adjudication of a lawsuit.	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 NOTES: 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.	



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15	1.1	Strategic Plans (Includes Organizational Charts)	Operational strategic plans, which include descriptions of information resources programs, prepared in accordance with Government Code, 2054.095 and 2056.002. Includes working files and related documentation used in creating the final plan.	AC				AC = September 1 of odd-numbered calendar years +6 years or Until Superseded, whichever is last.		ARCHIVES NOTE: The final version of Strategic Plans must be submitted to the Texas State Publications Depository Program per 13 TAC 3.3(a)(2)(C). Working files and related documentation used in creating the final plan are not subject to archival review and may be disposed of at the expiration of the retention period. Only charts showing the overall arrangement and administrative structure of the state agency need to be transferred to the Archives and Information Services Division, Texas State Library and Archives Commission. Organizational charts showing division/department level detail are not considered archival. This series from 1.1.055 & 1.1.023.	



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16	1.1.056	ADA (Americans with Disabilities Act) Documentation	Self-evaluations and plans documenting compliance with the requirements of the Americans With Disabilities Act.		3						28 CFR 35.105(c)
17	1.1.057	Transitory Information	Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing record 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				AC = Purpose of record has been fulfilled.		CAUTION: Records management officers should make certain records 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 signoffs (RSIN 1.2.001) or in records disposition logs (RSIN 1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (RSIN 1.2.014).	



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18	1.1.063	Staff Meeting Minutes and Notes	Minutes or notes, and supporting documentation, taken at internal agency staff meetings.		1						
19	1.1.064	Agency Performance Measures Documentation	Any records of an agency needed for the documentation of output, outcome, efficiency, and explanatory measures in an agency's appropriations request or strategic plan, and for performance measures used to manage the agency.	FE	3					See RSIN 1.1.068 for reports on agency performance measures. 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.	
20	1.1.066	Reports – Annual Agency	Annual report to the Governor and Legislature as required by the agency's enabling statutes. Includes working files and related documentation used in creating final report	AC	6			AC = September 1 of odd-numbered calendar years.	A	ARCHIVES NOTE: The final version of these agency reports must be submitted to the Texas State Publications Depository Program per 13 TAC 3.3. The requirement is met by sending the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission. Working files and related documentation used in creating the final report may be disposed of at the expiration of the retention period.	



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21	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, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.		3				R	ARCHIVES NOTE: Reports are archival when they deal with significant aspects of the agency's programs. For agencies that have had an archival appraisal, separate this records series by each type of archival coding, A, R, or E. See page ix for more information.	
22	1.1.068	Reports – Performance Measures	Quarterly and annual reports on agency performance measures submitted to the executive and legislative offices.	AC	6			AC = September 1 of odd-numbered calendar years.		See RSIN 1.1.064 for documentation used to produce reports on agency performance measures.	
23	1.1.072	Public Information Reports	Reports made to the Office of Attorney General (OAG) on an agency's Public Information Act activities.		2						Tx Government Code, 552.010.
24	1.1.074	Sunset Review Report and Related Documentation	Sunset Review Report, agency self-study, and other correspondence and supporting documentation related to the Sunset review process for state agencies.	AC	3			AC = After the subsequent Sunset Review.	R		
25	1.1.075	Alternative Dispute Resolutions - Final Agreement	Final agreement described by Government Code 2009.054(c), associated with a matter conducted under an alternative dispute resolution procedure in which personnel of a state agency participated as a party on the agency's behalf.	AC	4			AC = Date of final agreement.			Texas Civil Practice and Remedies Code, Chapter 154.071



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26	1.2.001	Destruction Authorizations	Documents authorizing final disposition of records under a certified records retention schedule. Records may also include destruction authorizations (e.g. form RMD 102) approved by Texas State Library and Archives Commission		3					CAUTION: If destruction authorizations are maintained as part of RSIN 1.2.010 (Records Disposition Logs), then longer retention period applies.	
27	1.2.005	Records Retention Schedule (SLR 105)	Agency copy. A records retention schedule (i.e. form SLR 105) that identifies the records that are created and maintained by an agency, provides the minimum timeframes the records must be retained, and includes instructions for their disposition. This series may include working files and documentation of certification and approval by the Texas State Library and Archives Commission	US						Original is retained for 50 years by the State and Local Records Management Division, Texas State Library and Archives Commission.	
28	1.2.006	Records Transmittal Forms	Forms used to track the transmittal of records to/from onsite and offsite storage areas or a transfer of physical custody	AV							
29	1.2.010	Records Dispositon Logs	Logs or similar records listing records disposed of by an agency, which might include records series title, dates of records, and date of disposition.		10					CAUTION: Disposition can mean destroyed or transferred.	
30	1.2.011	Record Center Storage Approval Forms (RMD 106)	Agency copy of form RMD 106 granting a state agency the authorization to store records at the State Records Center.	AV						Obsolete record	



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31	1.2.012	Records Inventories	Worksheets or working papers used to capture records inventory information, including location tracking and to document existence and requirements of a records series.	US							
32	1.2.014	Records Management Policies and Procedures	Records management plans and similar records that establish the policies and procedures under which records and information are managed in an agency	US	1						
33	1.2.015	Disaster Recovery Service Transmittals	Transmittals and related service documentation (e.g. form RMD 109) for disaster recovery services provided by TSLAC or other entities	AV							
34	1.2.016	Disaster Recovery Service Approval Forms	Forms used by TSLAC (e.g. form RMD 113) or other entities to establish disaster recovery services, authorize agency staff to access the media, etc.	AC				AC = Until superseded or termination of service.			
35	2.2.018	Biennial Information Security Plan	Biennial information security plan for protecting the security of the agency's information.	US							1 TAC 202.23 1 TAC 202.73
36	3.1.001	Applications for Employment - Not Hired	Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.	AC	2			AC= Date of the making of the record or the personnel action involved, whichever occurs later		CAUTION: Does not include ADA Accommodation Requests. See RSIN 3.1.042.	29 CFR 1602.31 [State Agencies]



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37	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.			
38	3.1.011	Employee Benefits	Agency copies of information relating to the selection by employees of life, disability, health, vision, dental, disability, and other types of insurance or benefits offered by the State of Texas to its employees.	AC				AC=Until superseded or termination of employment.		CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item number 3.2.001.	
39	3.1.012	Employment Opportunity Announcements	Internal or external announcements or advertisements of job openings, promotions, training programs, or opportunities for overtime.		2						29 CFR 1602.31 [State Agencies]
40	3.1.014	Employment Selection Records	Includes notes of interviews with candidates, questions asked of applicants, and all other records that document the selection process.	AC	2			AC= Date of the making of the record or the personnel action involved, whichever occurs later			29 CFR 1602.31 [State Agencies]
41	3.1.018	Grievance Records	Records relating to the review of employee grievances or complaints against personnel policies, working conditions, etc.	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 RSIN 1.1.048.	



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					Years	Months	Days				
42	3.1.019	Performance Appraisals	Job evaluations, performance appraisals, or other similar documents used to evaluate the performance of an employee		2						29 CFR 1620.32(c)
43	3.1	Personnel Corrective/Disciplinary 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. 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.		(Includes 3.1.020 & 3.1.021 - Personnel Disciplinary Action Documentation).	
44	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 [State Agencies]



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					Years	Months	Days				
45	3.1.023	Position/Job Descriptions	Job descriptions, including all associated task or skill statements, for positions in the agency.	AC	4			AC=Until superseded or job eliminated.			40 TAC 815.106(i)
46	3.1.027	Training and Educational Achievement Records (Individual)	Certificates of completion, certifications, licenses, transcripts, test scores, or similar records documenting the training, testing, certification, licensing, or continuing education achievements of an employee.	AC	5			AC= Termination of employment.			
47	3.1.029	Employment Eligibility Documentation	Federal reporting form (INS I-9).	AC				AC= 3 years after date of hire or 1 year after termination of employment, whichever is later			8 CFR 274a.2(b)(2)(i)(A) and (c)(2)
48	3.1.038	Public Access Option Records	Form completed and signed by employee or official, or former employee or official, electing to keep home address, home telephone number, social security number, and family information open or confidential under the Public Information Act, Government Code 552.024	US						CAUTION: Most recent public access election information must be kept as long as the former employee verification records. See RSIN 3.3.011.	
49	3.1.041	Employee Acknowledgement and Agreement Forms	Agreements between employee and agency authorizing certain actions, including acknowledgement forms, telecommuting agreements, outside/secondary employment authorizations, or other documentation that show proof of receipt and awareness of and adherence to agency policies and procedures.	AC	2			AC= Until superseded, obsolete, or date of separation, as applicable.			



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50	3.1.042	ADA Accommodation Requests	Employee or applicant requests for reasonable accommodation under the ADA (Americans with Disabilities Act).	AC	2			AC= For employees, termination of employment; for job applicants who were not selected, date of application.			29 CFR 1602.31
51	3.2.001	Employee Deduction Authorizations	Documentation used to start, modify, 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 sooner.			
52	3.2.002	Employee Earnings Records	Payroll records and registers documenting employee earnings, wages, and pay. This may include but is not limited to payroll input records, summary statements, payroll vouchers, payroll detail sheets, and payroll history.		4						40 TAC 815.106(i)
53	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 tax is paid whichever is later.			26 CFR 31.6001 - 1(e)(2)
54	3.2.004	Income Adjustment Authorizations	Used to make increases or decreases to employees' gross pay, FICA, retirement, or in the computation of taxes.		2						29 CFR 516.6(c)
55	3.2.005	W-4 Forms	Employer's copy of "Employee's Withholding Exemption Certificate."	AC	4			AC=Until superseded, obsolete, or upon separation of employee.			26 CFR 31.6001-1(e)(2)



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56	3.2.007	Unemployment Compensation Records	Records and documentation relating to unemployment compensation claims, including reimbursement of funds disbursed by Texas Workforce Commission (TWC).	AC	5			AC=Resolution of the claim.			
57	3.2.008	Direct Deposit Application/ Authorizations	Forms used to deposit employee's earnings into a specified personal account.	AC				AC= Until superseded, cancelled, or last payment deposited after termination of employment, whichever applicable.			
58	3.2.009	State Deferred Compensation Records	Records documenting the amount of pension or deferred compensation earned by individual employees		4						
59	3.3.001a	Affirmative Action Plans - Employees	Affirmative action plans for both regular employees and apprenticeship programs.	AC	5			AC = Date of the making of the record or the personnel action involved, whichever occurs later.			29 CFR 30.12(d)
60	3.3.001b	Affirmative Action Plans – Apprenticeship Programs	Affirmative action plans for apprenticeship programs.	AC	2			AC = Date of the making of the record or the personnel action involved, whichever occurs later.			41 CFR 60-1.12(a)
61	3.3.010	Labor Statistics Reports	Reports providing statistical information on labor force.		3						
62	3.3.011	Former Employee Verification Records	Minimum information needed to verify employment. Includes name, social security number, exact dates of employment, last known address; and most recent public access authorization	AC	75			AC=Termination of employment.		See item number 3.1.038.	



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63	3.3.015	Positions/Job Classification Review File	Records relating to review and monitoring of job classifications within an agency.	US	3						
64	3.3.020	Work Schedules/Assignments	Work, duty, shift, crew, or case schedules, rosters, or assignments.	AV							
65	3.3.022	Texas Workforce Commission (TWC) Reports	Reports to the agency from TWC or its predecessor pertaining to employees.		3						
66	3.3.024	Personnel Policies & Procedures	Any internally distributed manuals, guidelines, or similar records that define agency wide policies and procedures concerning the <u>personnel of an agency.</u>	US	3						
67	3.3.026	Agency Staffing Reports	Any reports compiled by an agency on aspects of personnel staffing, including listing of all staff by program or name, staff hired during a month, detailed listings of employees within its organizational structure, position vacancies, analyses of turnover rates and seasonality of employment, etc.	US	3						
68	3.3.031	EEO Reports and Supporting Documentation	Includes documentation used to complete EEO (Equal Employment Opportunity) reports.		3						29 CFR 1602.32 29 CFR 1602.48 29 CFR 1602.50
69	3.4	Leave and Timesheet Documentation	Timesheets, leave requests, and overtime authorizations.		4					Includes 3.4.001, 3.4.002, 3.4.004, 3.4.006 and 3.4.007	40 TAC 815.106(i). Government Code, Section 661.152(d); 29 CFR 825.500(b).



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70	3.4.008	Sick Leave Pool Documentation	Records documenting number of hours transferred in and out of comprehensive sick leave pool	FE	3						
71	4.1.001	Accounts Payable Information	Claims; invoices; statements; copies of checks and purchase orders; expenditure authorizations; ledgers; encumbrance, purchase, general journal, expenditure, and special vouchers; and similar records that serve to document disbursements, including those documenting claims for and reimbursement to employees for travel and other expenses.	FE	3						
72	4.5.002	Fiscal Management Reports	Internal and external periodic fiscal management reports and associated worksheets, including federal financial reports, salary reports, HUB reports, investment performance reports, etc.	FE	5						



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73	4.5.003	Annual Financial Reports	Annual Financial Reports (AFR) required by the General Appropriations Act (100 Day Report).	AC	6			AC = September 1 of odd-numbered calendar years.		ARCHIVES NOTE: The final version of Annual Financial Reports must be submitted to the Texas State Publications Depository Program per 13 TAC 3.3(a)(2)(a). Working files and related documentation used in creating the final plan are not subject to archival review and may be disposed of at the expiration of the retention period. CAUTION: If an agency does not produce a biennial or annual narrative report as described in RSIN 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.	
74	4.5.007	USAS Reports - Daily/Monthly	Periodic reports compiled from information entered into the Uniform Statewide Accounting System (USAS).	AC				AC= Receipt and reconciliation of annual report.			



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					Years	Months	Days				
75	4.5.009	USAS Reports - Annual	Yearly report compiled from information entered into the Uniform Statewide Accounting System (USAS).	FE	3						
76	4.7.001	Accounting Policies and Procedures Manual	Records documenting the internal and external procedural requirements with respect to the accounting department of a state agency.	US	3						
77	4.7.004	Capital Asset Records	Documentation relating to the capital and fixed assets of a state agency, including equipment or property history cards containing data on initial cost, depreciation schedules or summaries used for capital outlay budgeting, and property sale, auction, or disposal records of agency owned equipment and property.	LA	3						
78	4.7.005	Claim Files	Records documenting requests for payment of a sum of money according to the terms of a policy or contract.	AC	3			AC = Resolution of claim.			
79	4.7.010	Long-Term Liability Records	Records documenting financial obligations of a state agency that are not payable within one year of the date of the balance sheet, including debentures, loans, deferred tax liabilities, bonds, and pension obligations.	AC	3			AC = Retirement of debt.			



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80	4.7.012	Signature Authorizations	Signature cards or similar records establishing authority of an agency employee to initiate or authorize financial transactions on behalf of an agency.	AC	4			AC= Until superseded, date of expiration, or termination of employee, whichever sooner.			
81	4.9.001	Annual Operating Budgets	Required by the General Appropriations Act. Includes encumbrances and documentation about budget transfers and revisions, as well as detail charts of accounts.	FE	3						
82	5.1.001a	Contract Administration Files – 9/1/2015 and After	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. Executed, renewed, or amended on or after September 1, 2015.	AC	7			AC= Expiration or termination of the instrument according to its terms.		See related RSIN 5.3.007a/b/c for bid documentation. See RSIN 5.2.028 for building construction contracts. See RSIN 5.1.017 for contract logs.	SB20 (84th Leg.)



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					Years	Months	Days				
83	5.1.001b	Contract Administration Files – 8/31/2015 and Prior	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. Executed, renewed, or amended on or before August 31, 2015.	AC	4			AC= Expiration or termination of the instrument according to its terms.		See related RSIN 5.3.007a/b/c for bid documentation. See RSIN 5.2.028 for building construction contracts. See RSIN 5.1.017 for contract logs.	SB20 (84th Leg.)
84	5.1.005	Postage Records	Records and reports of postage expenses, including postal meter usage.	FE	3						
85	5.1.013a	Insurance Policies - 9/1/2015 and After	Liability, theft, fire, health, life, automobile, and other policies for government property and personnel including supporting documentation relevant to the implementation, modification, renewal, or replacement of policies. Executed, renewed, or amended on or after September 1, 2015.	AC	7			AC= Expiration or termination of the policy according to its terms.			SB20 (84th Leg.)



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86	5.1.013b	Insurance Policies – 8/31/2015 and Prior	Liability, theft, fire, health, life, automobile, and other policies for government property and personnel including supporting documentation relevant to the implementation, modification, renewal, or replacement of policies. Executed, renewed, or amended on or before August 31, 2015.	AC	4			AC= Expiration or termination of the policy according to its terms.			SB20 (84th Leg.)
87	5.1.014	Office Procedures	Any internally distributed manual, guidelines, or similar records that establish standard office procedures for an agency, e.g. agency style manuals, telephone protocols, mail room procedures, print shop and photocopy ordering instructions.	US	1						
88	5.1.017	Contract Log	List of agency contracts, leases, and agreements, including general obligation, land lease, utilities, and construction contracts	FE	3						
89	5.2.006	Inventory & Property Control Records	Records documenting the inventorying, maintenance, usage, and disposal of supplies, equipment, and property of a state agency. Includes lost, stolen, and damage reports	FE	3					See RSIN 5.2.008 for the maintenance logs of individual pieces of equipment.	
90	5.2.008	Inspection, Repair, and Maintenance Records – Equipment	Equipment history file, which may include logbooks and requests for installation, moves, service, repair, etc.	LA	3					For service agreements or contracts related to equipment repairs and service, retain in accordance with RSIN 5.1.001a/b.	



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91	5.2.027	Space Utilization Reports	Reports summarizing efficiency of facility space utilization, which may include data on room usage, demand, allocation, and capacity	AV							
92	5.2.029	Returned Mail	Documentation of mail returned by the postal or other mail delivery services as undeliverable.	AC	1			AC= Date returned.		CAUTION: If corrected address provided and mail rerouted, maintain address update documentation for prescribed retention period.	
93	5.3.007a	Bid Documentation – 9/1/2015 and After	Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, awarded and unawarded 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.			SB20 (84th Leg.)
94	5.3.007b	Bid Documentation – 8/31/2015 and Prior	Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, awarded and unawarded bids, and bid tabulation /evaluations. Associated with a contract executed, renewed, or amended on or before August 31, 2015.	FE	3						SB20 (84th Leg.)
95	5.3.007c	Bid Documentation – Invalid Bids	Invalid 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.			



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96	5.3.008	Purchasing Logs	Log, register, etc., providing a record of purchase orders issued, orders received, and similar data on procurement status.	FE	3						
97	5.3.009	Requests 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.		See RSIN 1.1.020 and 1.1.021 for public information requests. CAUTION: If the request for information leads to request for proposal or bid, the request for information documentation should be retained in accordance with RSIN 5.3.007a/b/c.	
98	5.3.010	Vendor Records/W-9	W-9 IRS Form used to request a taxpayer identification number (TIN) for reporting information to the Internal Revenue Service (IRS). This includes W-9 forms received by a state agency from vendors.	AC	3			AC= Date account is opened or date instrument purchased.			26 CFR 31.3406(h)-3(g)
99	5.4.001	Occupational Accident Reports and Associated Documentation	Accident or occupational disease reports (by supervisors and employees) and other associated reports required to be submitted to the State Office of Risk Management (SORM) or its predecessors or maintained internally on accident frequency.	CE	5			See RSIN 5.4.014a/b for non-employee accidents.			29 CFR 1904.33 28 TAC 120.1(c)
100	5.4.002	Evacuation Plans	Plans for evacuation of agency facilities in cases of emergency.	US							
101	5.4.011	Visitor Control Registers	Logs, registers, or similar records documenting visitors to limited access or restricted areas of agency facilities.		3						



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102	5.4.012	Security Access Records	Records relating to the issuance of keys, identification cards, building passes, passwords, signed statements or similar instruments of access to agency or state facilities, equipment or automated systems.	AC	2			AC = Until superseded, date of expiration, or date of termination whichever sooner.			
103	5.4.013	Continuity of Operations Plans (COOP)	Plans developed (per Texas Labor Code, 412.054) to mitigate the damage of potential events that could endanger an agency's ability to function. Includes disaster preparedness, response, and recovery plans.	US						See RSIN 5.4.017 for records related to responding or recovering from an emergency.	
104	5.4.014a	Accident Reports – Adults	Reports of accidents to adults on state property or in any other situation in which the state agency could be a party to a lawsuit.	AC	3			AC= Date of report, or if a claim is filed, after settlement or denial of claim, whichever applicable			
105	5.4.014b	Accident Reports – Minors	Reports of accidents to minors on state property or in any other situation in which the state agency could be a party to a lawsuit.	AC	3			AC= Date minor reaches the age of majority, or if a claim filed, after settlement or denial, whichever applicable.			

