



February 15, 2019

Heidi McConnell
Chief Operating Officer
Cancer Prevention and Research Institute of Texas
1701 N. Congress Avenue, Suite 6-127
Austin, Texas 78701

Re: Agency records retention schedule approved for use.

Dear Ms. McConnell,

Your agency's records retention schedule is approved for use as of **February 14, 2019**. Your currently approved records retention schedule is available on our website at <https://www.tsl.texas.gov/slrn/state/schedules.html>. Please ensure that all old copies of the schedule are superseded with this recertified copy.

Your approved retention schedule provides you with continuing authorization to dispose of agency records according to its terms. Please note that state regulations (13 TAC §6.8) require documentation of the final disposition of records by your agency. This requirement may be met by maintaining a disposition log or other evidence of the records series titles, dates covered, volume, and date of disposition. 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 **February 2024**.

During a certification period, changes may need to be made to your schedule. State regulations (13 TAC §6.4) also allow for the submission of amendments to the retention schedule as needed to keep the information in the schedule current. If you are not familiar with the amendment process, or if you have any other questions, please contact the Government Information Analyst assigned to your agency, Megan Carey at 512-463-5494 or mcarey@tsl.texas.gov.

Your efforts in developing a records retention schedule are appreciated. It not only helps to ensure the integrity of your recordkeeping practices, but it is also essential to the success of your records management program.

Sincerely,

Craig Kelso
Director and State Records Administrator

cc: 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

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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 542
 Agency Name Cancer Prevetion and Research Institute of Texas

(Check one)

- Initial Certification - Form SLR 105
- Recertification - Form SLR 105
- Amendment - Form SLR 122

I hereby certify that this records retention schedule was prepared in accordance with Texas Government Code, Chapter 441, Subchapter L.

(Check one)

- Agency Head
- Records Management Officer

Signature *Heidi McConnell*
 Name (Print or type) Heidi McConnell
 Date 7/30/2018

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 *Gloria Meraz*
 Name (Print or type) Gloria Meraz
 Date 2/14/19

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
 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

1. Agency Code: 542		2. Agency Name: Cancer Prevention and Research Institute of Texas (CPRIT)									
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
					Years	Months	Days				
1	1.1	Advisory Committees			2				A		
3	1.1	Appointment Documentation to Texas Cancer Council (TCC) Board		PM					A		
4	1.1.	Appointment Documentation to Oversight Committee		PM					A		
12	1.1.	Creation of the Texas Cancer Council		PM					E	Archival code removed subsequent to appraisal by the Archives and Information Services Division, Texas State Library & Archives Commission, June 17, 1999.	
6	1.1.002	Audits	Audits and reviews performed by or on behalf of an agency, including the working papers that support the audit. Also includes audits performed on the agency.	AC	7			AC = Publication or release of final audit findings. The State Auditor's Office retains any copies of its audits performed on Texas state agencies.			
5	1.1.004	Appropriations Requests and Supporting Documentation	Including any supporting documentation created and/or used to justify and support legislative appropriations requests by an agency.	AC	6			AC = Sept. 1 of odd-numbered calendar years.	A	The archival requirement is met by sending the required copies of the requests to the Texas State Publication Depository Program, Texas State Library and Archives. Only copies of supporting documentation submitted to the Legislative Budget Board are archival.	



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124	1.1.006	Complaint Records	Complaints received by an agency from the public concerning the agency and records pertaining to the resolution of the complaint.	AC	2			AC = Final disposition of the complaint.		CAUTION: If a complaint becomes the subject of litigation, it must be included in and is subject to the minimum retention period of item number 1.1.048.	



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10	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	<p>Archive Note: Only the administrative correspondence of executive staff, board or commission members, division directors and program head require archival review. Contact the State Archives when these records have met their retention periods.</p> <p>CAUTION: This records series and item number 1.1.008 should be used only for correspondence that is not included in or directly related to another records series on the agency's approved schedule. For example, a memorandum that documents an appropriations request must be retained for the minimum retention period prescribed by item number 1.1.004; a letter concerning an audit for that prescribed by item number 1.1.002, etc. SEE ALSO item number 1.1.011.</p>	



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11	1.1.008	Correspondence - General	Non-administrative incoming/outgoing and internal correspondence, in any media, pertaining to or arising from the routine operations of the policies, programs, services, or projects of an agency.		2					SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.	
125	1.1.010	Directives	Any document that officially initiates, rescinds, or amends general office procedures.	US	1						
126	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	3				A		



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14	1.1.013	Calendars, Appointment and Itinerary Records	Calendars, appointment books or programs and scheduling, or itinerary records, purchased with state funds or maintained by staff during business hours that document appointments, itineraries, and other activities of agency officials or employees.	CE	1				R	<p>Archive 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.</p> <p>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.</p>	
119	1.1.014	Legal Opinions and Advice	From agency legal counsel or the Attorney General, including any requests eliciting the opinions.	AV					R	<p>CAUTION: Does not include legal opinions or advice rendered on a matter in litigation or with regard to pending litigation. SEE item number 1.1.048.</p>	



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29	1.1.019	Public Relations Records	News, press releases, or any public relations files maintained or issued by an agency. Includes print, electronic, audio, and audiovisual records.		2				R		
30	1.1.020	Open Records Requests Approved (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.			
31	1.1.021	Open Records Requests Denied (Public Information Requests - Exempted)	Includes all correspondence and documentation relating to requests for records that are exempt under the Public Information Act (Chapter 552, Government Code).	AC	2			AC = Date of notification that records are exempt.			
32	1.1.023	Organizational Charts		US					A		
34	1.1.024	Plans and Planning Records	Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC	3			AC = Decision made to implement or not to implement result of planning process.	R	ARCHIVES NOTE: Data processing planning records are not archival.	
63	1.1.026	Texas Register Submitted Forms	Copies of all proposed, withdrawn, emergency, and adopted rules; open meetings notices; or any other documents required by law to be submitted to the Texas Register.	AC	1			AC = Date of publication in the Texas Register.			
127	1.1.027	Proposed Legislation	Drafts of proposed legislation and related correspondence.	AV							



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13	1.1.038	Customer Assessment	Surveys returned by the customers or clients of an agency, and the 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.	
49	1.1.040	Speeches, Papers and Presentations	Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC				AC = End of term in office or termination of service in a state position.	R		
64	1.1.043	Training Materials	Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US	1						
21	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		R	AC=As applicable, decision of an agency not to file a lawsuit or decision that a lawsuit will not be filed against it on a matter; dismissal of a lawsuit for want of prosecution or on motion of the plaintiff; or final decision of a court (or of a court on appeal, if applicable) in a lawsuit.	R	ARCHIVES NOTE: Cases that set legal 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.	
128	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 = Report filed with the Texas Ethics Commission.			



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58	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=Sept. 1 of odd-numbered calendar years.	A	ARCHIVES NOTE: The archival requirement is met by sending the required copies of the plans to the Texas State Publications Depository Program, Texas State Library and Archives Commission.	
2	1.1.056	ADA (Americans with Disabilities Act) Documentation	Self evaluations and plans documenting compliance with the requirements of the Americans With Disabilities Act.		3						28 CFR 35.105(c)



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65	1.1.057	Transitory Information	<p>Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency’s recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series.</p> <p>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.</p>	AC				AC=Purpose of record has been fulfilled.		<p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions.</p> <p>The disposal of transitory information need not be documented through destruction signoffs (1.2.001) or in records disposition logs (1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (1.2.014).</p>	



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					Years	Months	Days				
24	1.1.058	Meeting Agendas and Minutes	Official agenda and minutes of state boards, committees, commissions, and councils that conduct open meetings as required by Government Code, Chapter 551.	PM					A	<p>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.</p> <p>CAUTION: This records series and item numbers 1.1.059, 1.1.060, 1.1.061, and 1.1.062 must be used for those state boards, committees, commissions, and councils, which by law or the biennial Appropriations Act, are administered by another state agency. These records and all others related to the functions of any of these dependent entities must be included in the records retention schedule of the administering agency.</p>	
26	1.1.059	Meetings, Certified Agendas, or Tape Recordings of Closed	Certified agendas or tape recordings of closed meetings of state boards, commissions, committees, and councils.	AC	2			AC = The date of the meeting or completion of pending action involving the meeting, whichever is later.		SEE caution comment at item number 1.1.058.	Government Code, 551.104(a).



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					Years	Months	Days				
25	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 meeting by the governing body of an agency.		CAUTION: Minutes of state agencies are permanent records. Audio and videotapes are not permanent media. State agencies may not retain audio or videotapes of the meetings of governing bodies in lieu of written minutes. The proceedings of all meetings of state boards, committees, commissions, and councils must be reduced to writing. SEE caution comment at item number 1.1.058.	
27	1.1.062	Meetings - Supporting Documentation	Documents submitted at meetings of state boards, commissions, committees, and councils including exhibit items, documentation for agenda items, etc. Includes documents sent in advance of meetings for briefing purposes, some of which may not be submitted at an actual meeting.		2				A	SEE caution comment at item number 1.1.058.	
28	1.1.063	Staff Meeting Minutes and Notes	Minutes or notes, and supporting documentation, taken at internal agency staff meetings.		1						



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129	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					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.	
61	1.1.065	Reports and Studies (non-fiscal) Raw Data	Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV						CAUTION: Does not include source documentation used for information or data included in or directly related to another records series in this schedule. SEE especially item number 1.1.064.	
8	1.1.066	Reports - Biennial or Annual Agency (Narrative)	Biennial narrative reports to the governor and legislature as required by an agency's enabling statutes, including annual narrative reports if they are required by statute.	AC	6			AC = Sept. 1 of odd-numbered calendar years.	A	ARCHIVES NOTE: The archival requirement is met by sending the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission.	
45	1.1.067	Reports and Studies (non-fiscal)	Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.		3				R	ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, A, R, or E. SEE page ix for more information.	



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33	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.			
46	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.	
35	1.1.070	Agency Rules, Policies, and Procedures - Final	Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC	3			AC = Completion or termination of program, rules, policies, or procedures.	R	SEE ALSO Agency Rules, Policies and Procedures - Working Files, 1.1.071.	
36	1.1.071	Agency Rules, Policies, and Procedures - Working Files	Working files used in the development of manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC	3			AC=Completion or termination of program, rules, policies or procedures.	R	SEE ALSO Records Series Item Number 1.1.070.	



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130	1.1.072	Public Information Reports	Reports made to the Office of the Attorney General on an agency's Public Information Act activities.		2						
131	1.2.001	Destruction Authorization	Agency level documents authorizing final disposition of records under a certified records retention schedule.	FE	3						
23	1.2.003	Forms History File	Print masters of original version and all subsequent revisions to an agency form, including any associated design or design modification requests.	AC	1			AC = Discontinuance of use of form.			
132	1.2.004	Forms Inventory	Any periodic listing of all forms used internally or externally by an agency.	US							
42	1.2.005	Records Retention Schedule (SLR105)	Agency copy. Formerly RMD 105. Includes documentation of certification and approval - forms SLR 105C (formerly RMD 105C), and/or other forms designated by the State Records Administrator.	US						Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission.	
44	1.2.006	Records Transmittal Forms	Agency copy (includes RMD 101, Tx-R-5, 306-58-1, and Agency Storage Forms). Forms indicate records transferred to storage or a transfer of legal custody.	AC	2			AC = Date of authorization for destruction, permanent transfer from storage, or transfer to the Archives and Information Services Division, Texas State Library and Archives Commission, by the agency records management officer.			



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					Years	Months	Days				
133	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.	
43	1.2.010	Records Disposition Logs	Logs or similar records listing records destroyed or transferred to the Archives and Information Services Division, Texas State Library and Archives Commission, showing records series title, dates of records, and date destroyed or transferred.		10						
57	1.2.011	Record Center Storage Approval Forms (RMD 106)	Agency copy.	US							
17	1.2.012	Records Inventory Worksheets		US							
134	1.2.013	Records Control Locator Aids	Includes indexes, card files, shelf lists, registers, guides, etc.	AC				AC = When control aid is updated, revised, or no longer needed.		CAUTION: These records must carry the same retention period and archival code of the records they support.	
135	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						
16	1.2.015	Disaster Recovery Service Transmittals (RMD 109)	Also includes documentation for disaster recovery services provided by other entities.	FE	1						



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40	1.3.001	State Publications	One copy of each state publication as defined on page xi of this schedule, except a publication that is subject to a different retention period in this schedule. For example, a meeting agenda (see item number 1.1.058) also meets the definition, but it must be retained permanently; item numbers 1.1.004, 1.1.055, 1.1.066, 1.1.068, and 4.5.003, which also meet the definition, are closely associated with the appropriations process and must be retained AC + 6.	AC	2			AC=Until superseded or obsolete.		CAUTION: Many state publications must be submitted to the Texas State Publications Depository Program, Texas State Library and Archives Commission, by law (Government Code 441.101-441.106). The Texas State Library and Archives Commission will retain a copy of all state publications submitted to it on a continuing basis, subject to periodic evaluation to determine if the publication merits further retention. For additional information and requirements concerning state publications made available to the public through the Internet, consult the administrative rules of the Texas State Publications Depository Program of the Texas State Library and Archives Commission (13 TAC §§3.1-3.16).	



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41	1.3.002	Publications Development Files	Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV					R		
69	2.1.007	Software Programs	Automated software applications and operating system files including job control language, program listing/source code, etc.	AC				AC = Until electronic records are transferred to and made usable in a new software environment or there are no electronic records being retained to meet an approved retention period that require the software to be retrieved and read.		CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.	13 TAC 6.94.
136	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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68	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: 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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137	2.1.010	Audit Trail Records	Files needed for electronic data audits such as files or reports showing transactions accepted, rejected, suspended, and/or processed; history files/tapes; records of on-line updates to application files or security logs.	AC				AC = All audit requirements have been met.			
138	2.2.001	System Monitoring Records	Electronic files or automated logs created to monitor computer systems such as print spool logs, console logs, tape activity logs, etc.	AV							
139	2.2.010	Data Processing Policies and Procedures	Manuals, guidelines, or similar documents establishing data processing policies and procedures in an agency in such areas as access and security, systems development, data retention and disposition, data ownership, production control, system back-up, etc.	US	3					CAUTION: Does not include technical documentation of procedures necessary for reading or processing of electronic records. SEE item number 2.1.009.	
140	2.2.012	Output Records for Computer Production	Reports showing transactions that were accepted, rejected, suspended, and/or processed.	AV							
141	2.2.016	Software Registrations, Warranties, and License Agreements		LA	3						



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71	3.1.001	Applications for Employment - Not Hired	Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.		2						29 CFR 1602.31 (State Agencies)
156	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.			
153	3.1.006	Employee Counseling Records	Notes, memoranda, or reports relating to the counseling of an employee for work-related, personal, or substance abuse problems. Usually maintained at the supervisorial level except in those agencies with counseling staff.	AC	3			AC = Termination of counseling.			
150	3.1.011	Employee Insurance Records	Agency copies of information relating to the selection by employees of life, disability, health, and other types of insurance offered by the State of Texas to its employees.	AC				AC = Until superseded or termination of employment.		Official record retained by HHSC Personnel Records. 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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142	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)
143	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 (State Agencies)
152	3.1.018	Grievance Records	Records relating to the review of employee grievances 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 item number 1.1.048.	
144	3.1.019	Performance Appraisals			2						29 CFR 1602.32(c).



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157	3.1.020	Personnel 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 records series, any part of this series is used to document and support personnel disciplinary action under item number 3.1.021, all documentation from this series used to support disciplinary action must be retained for the the minimum retention period described by item number 3.1.021.	
158	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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145	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)
80	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 elimination.			40 TAC815.106(i).
159	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.			
151	3.1.029	Employment Eligibility, Documentation or Verification of	Federal reporting form (INS I-9).	AC	1			AC = Termination of employment.		Official INS I-9 Form retained by HHSC Personnel Records. CAUTION: Federal regulation requires that INS 1-9 forms be retained for 3 years from date of hire or 1 year after separation of the employee, whichever later. Agencies should make certain that the INS I-9 forms for employees who terminate from an agency less than 3 years from date of hire are kept for the 3 year retention period.	8 CFR 274a.2(b)(2)(i)(A) and (c)(2).



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77	3.1.034	Resumes - Unsolicited	Retention period applies if an agency replies to the sender of a resume that it will be kept on file should future job openings occur.	AV							
149	3.1.036	Apprenticeship Records	Summary of applicant qualifications, evaluation basis for selection or rejection, original applications, job assignments, promotions, separations, layoffs, terminations, compensation records, conditions of work, time records, hours of training provided (separate from labor), minority status, and gender of all selected and rejected applicants.		5					For Internships.	29 CFR 30.8(e).
160	3.1.037	Employee Recognition Records	Awards, incentives, tenure, etc.	AC	5			AC = Termination of employment.			
163	3.1.038	Public Access Option Form	Form completed and signed by employee or official, or former employee or official, electing to keep home address, home telephone number, social security number, and family information open or confidential under the Public Information Act, Government Code §552.024.	US						SEE item number 3.3.011.	
154	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.		Retained in CAPPS HR.	



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148	3.2.002	Employee Earnings Records			4					Retained in CAPPS HR.	40 TAC 815.106(i)
79	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.		Retained in HHSC HR. A copy may be kept in CPRIT files.	26 CFR 31.6001 - (e)(2).
155	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.			26 CFR 31.6001-1 (e)(2).
161	3.2.007	Unemployment Compensation Records		AC	5			AC = After close.			
164	3.2.008	Direct Deposit Application/ Authorizations		US						Retained in CAPPS HR - Employee Self-service.	
78	3.2.010	Human Resources Information System Reports	Includes supporting documentation.	AC	4			AC=Until superseded or the HRIS report has served the purpose for which it was maintained.			
73	3.3.	Employee Health Fitness & Education Program	Agency Employee Wellness Program (including Gold Standard)	AV							
70	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.
75	3.3.011	Former Employee Verification Records	Minimum information needed to verify employment, includes name, social security number, exact dates of employment, last known address and most recent public access option form.	AC	75			AC = Termination of employment.		See item number 3.1.038.	



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82	3.3.015	Position/Job Classification Review File	Records relating to review and monitoring of job classifications within an agency.	US	3						
85	3.3.022	Texas Workforce Commission (TWC) Reports	Reports to the agency from TWC or its predecessor pertaining to employees.		3						
162	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						
166	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						
76	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, analyses of turnover rates and seasonality of employment, etc.	US	3						



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165	3.3.027	Aptitude and Skills Tests	Aptitude or skills tests required of job applicants or of current personnel to qualify for promotion or transfer.	US	2					CAUTION: One copy of each different test (different in terms of either questions or administration procedures) should be retained for the period indicated.	29 CFR 1602.31 (State Agencies)
146	3.3.028	Aptitude and Skills Tests (Test Papers)	Aptitude and skills test papers of job applicants or of current personnel taking a test to qualify for promotion or transfer.	US	2						29 CFR 1602.31 (State Agencies)
67	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 an agency's programs, services, or projects.	US	2					CAUTION: Does not include hazardous material training records. SEE item number 5.4.007.	
74	3.3.031	EEO Reports and Supporting Documentation	Includes documentation used to complete EEO reports.		3						29 CFR 1602.32, 1602.39, 1602.41, 1602.48 and 1602.50
147	3.4.004	Overtime Authorizations			2					Official record in CAPPs HR.	
86	3.4.006	Time Cards and Time Sheets			4					Retained in CAPPs HR.	40 TAC 815.106(i)
83	3.4.008	Sick Leave Pool Documentation	Requests submitted, approvals, number of hours transferred in and out, etc.	FE	3						
88	4.1.001	Accounts Payable Information		FE	3						



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94	4.1.002	Billing Detail		FE	3					CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.	
167	4.1.003	Canceled Checks/Stubs/Warrants/Drafts		FE	3						
97	4.1.004	Encumbrance Detail		FE	3						
168	4.1.005	Inventory and Other Cost Files	Production, job, labor, quotes, pricing, specifications, etc.	FE	3						
169	4.1.007	Transfers or Budget Revisions	Transfers or adjustment to budgets.	FE	3						
170	4.2.001	Cash Deposit Vouchers	Cash deposit slips.	FE	3						
171	4.2.002	Cash Receipts	Includes receipts for fees (permits, licenses, renewals, etc.).	FE	3						
172	4.2.003	Daily Cash Receipts Logs		FE	3					Not daily.	
98	4.2.004	Encumbrance Vouchers	Orders, statements, change orders, etc.	FE	3						
107	4.2.005	Purchase Vouchers	Requisitions, , receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE	3						
106	4.2.006	General Journal Vouchers		FE	3						
99	4.2.007	Expenditure Vouchers	Travel, payroll, etc.	FE	3						
100	4.3.003	Expenditure Journals/Registers		FE	3						
102	4.4.001	General and Subsidiary Ledgers		FE	3						



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90	4.4.002	Accounts Receivable Ledgers		FE	3						
89	4.4.003	Accounts Payable Ledgers		FE	3						
113	4.5.001	Worksheets for Preparing Fiscal Reports		FE	3						
104	4.5.002	Internal Fiscal Managements Reports	Includes agency monthly budget reports.	FE	3						
91	4.5.003	Annual Financial Report and Documentation	Required by the General Appropriations Act (100 Day Report).	AC	6			AC = September 1 of odd-numbered calendar years.		CAUTION: If an agency does not produce a biennial or annual narrative report as described in item number 1.1.066, then these annual financial reports must be marked with Archival Code A. The archival requirement, when a biennial or annual narrative report is not produced, is met by sending the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission.	
103	4.5.005	External Fiscal Reports	Special purpose - i.e. federal financial reports, salary reports, etc. Includes HUB Reports.	FE	3						
92	4.5.006	Annual Operating Budget (Appropriations)	Required by the General Appropriations Act.	FE	3						



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					Years	Months	Days				
110	4.5.007	Uniform Statewide Accounting System (USAS) Reports - Daily		AC				AC=Receipt and reconciliation of monthly report.			
111	4.5.008	USAS Reports - Monthly		AC				AC=Receipt and reconciliation of annual report.			
112	4.5.009	USAS Reports - Annual		FE	3						
108	4.6.002	Reconciliations		FE	3						
87	4.7.001	Accounting Policies and Procedures Manual		US	3						
95	4.7.004	Capital Asset Records		LA	3						
96	4.7.006	Comptroller Statements		FE	3						
173	4.7.007	Detail Chart of Accounts	One for all accounts in use for a fiscal year.	FE	3						
101	4.7.008	Grant Records	This series documents state and federal grant projects participated in or administered by state agencies. It includes grant authorization records, which provide evidence of the award of grants to or by agencies; grant/project financial or performance reports, which are periodic reports of financial activity and/or program performance related to grants received or made by agencies.	AC	3			AC=Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (The Common Rule).		CAUTION: Retention requirements may vary depending on the specific federal funding agency. Agencies must ensure that records are retained for the appropriate retention period.	
174	4.7.010	Long-Term Liability Records	Bonds, etc.	AC	3			AC = Retirement of debt.		Source documents with Texas Public Finance Authority (TPFA).	



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175	4.7.011	Texas Facilities Commission Statements (TFC)	Charge or bill statements received by agencies from the TFC for services provided.	FE	3						
109	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	3			AC = US + FE			
19	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.		a) Executed, renewed, or amended on or after September 1, 2015. SEE related item numbers 3.1.035 Performance Bonds and 5.3.007 Bid Documentation. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs.	Government Code, 441.1855



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					Years	Months	Days				
196	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	4			AC = Expiration or termination of the instrument according to its terms.		b) Executed, renewed, or amended on or before August 31, 2015. SEE related item numbers 3.1.035 Performance Bonds and 5.3.007 Bid Documentation. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs.	Government Code, 441.1855
22	5.1.004	Mail & Telecommunications Listings	Any mailing address, telephone or fax number, or e-mail address records maintained by an agency on its employees or on entities or persons it serves.	US							
176	5.1.007	Requisitions for In-Agency or Inter- Agency Copy/Printing Service	Includes word processing and data processing.	AV							
177	5.1.011	Photocopier and Telefax Usage Logs & Reports		AV							



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178	5.1.014	Office Procedures	Any internally distributed manual, guidelines, or similar records that establish standard office procedures for an agency; for example, agency style manuals, telephone protocols, mail room procedures, print shop and photocopy ordering instructions.	US	1						
179	5.1.017	Contract Log	List of agency contracts, leases, and agreements including general obligation, land lease, utilities, and construction contracts.	FE	3						
180	5.2.002	Building Construction Project Files	Planning, design, and construction records; accepted and rejected bids; correspondence; etc.	AC	10			AC = Completion of project.	R	SEE ALSO item numbers 5.2.003 and 5.2.028.	
181	5.2.008	Equipment History File	Includes requests for installation, moves, service, etc.; and service/repair logbooks, etc.	LA	3					For service agreements or contracts related to equipment repairs and service, retain in accordance with item number 5.1.001.	
182	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						
183	5.2.010	Equipment Manuals		LA							
184	5.2.011	Equipment Warranties		AC	1			AC = Expiration of Warranty.			
185	5.2.012	Estimate Files (Supply and Repair Cost Estimates)			1						
105	5.2.014	Inventory - Annual Physical	Property, equipment, supply verification.	FE	3						



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186	5.2.015	Inventory, Notices of Equipment Removed From		FE	3						
187	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 into annual listing.			
188	5.2.017	Lost & Stolen Property Reports		FE	3						
189	5.2.021	Surplus Property Sale Reports		FE	3						
190	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, document, transaction date, location, item code, description, date, and cost.	FE	3						
191	5.2.027	Space Utilization Reports		AV							
114	5.3.007	Bid Documentation	Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, successful and unsuccessful bids, and bid tabulation/evaluations.	AC	7			AC=Expiration or termination of the instrument according to its terms or decision not to proceed with the bid.		a) Associated with a contract executed, renewed, or amended on or after September 1, 2015.	



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					Years	Months	Days				
197	5.3.007	Bid Documentation	Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, successful and unsuccessful bids, and bid tabulation/evaluations.	FE	3					b) Associated with a contract executed, renewed, or amended on or before August 31, 2015.	
198	5.3.007	Bid Documentation	Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, successful and unsuccessful bids, and bid tabulation/evaluations.	AC	2			AC=Date of notification of denial or date of withdrawal, as applicable.		c) Unsuccessful bids that do not meet agency submission requirements and are not included in bid evaluation process (e.g. withdrawn, missed submission deadline, incomplete submission, etc.).	
121	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						
192	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.		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.	
55	5.4	SORM - State Office Risk Management Program Review	State Office Risk Management Review and Recommendation of agency risk management program.	FE	4						



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84	5.4.001	Accident Reports and Associated Documentation	Accident or occupational disease reports (by supervisors and employees) and other associated reports required to be submitted to the Texas Department of Insurance or its predecessors or maintained internally on accident frequency. Texas Workers Compensation Commission Reports	CE	5					The Texas Department of Insurance retains copies of the reports submitted to it for 50 years.	29 CFR 1904.33.
193	5.4.002	Evacuation Plans	Plans for evacuation of agency facilities in cases of emergency.	US							
118	5.4.003	Inspection Records	Fire, safety, and other inspection records of agency facilities and equipment.	AC	3			AC=Inspection, or date of the correction of the deficiency if the inspection report reveals a deficiency.		CAUTION: Does not include inspection reports of building construction. SEE item number 5.2.028.	
194	5.4.011	Visitor Control Registers	Logs, registers, or similar records documenting visitors to limited access or restricted areas of agency facilities.		3						
195	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.			
15	5.4.013	Disaster Preparedness and Recovery Plans		US							