Texas State
Records Retention Schedule

Revised 4th Edition

Effective September 2, 2016
Texas Administrative Code, Title 13, Chapter 6, Section 6.10

TEXAS STATE LIBRARY AND ARCHIVES COMMISSION

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.

INQUIRIES AND COMMENTS REGARDING THIS SCHEDULE SHOULD BE DIRECTED TO:

TEXAS STATE LIBRARY AND ARCHIVES
COMMISSION STATE AND LOCAL RECORDS
MANAGEMENT DIVISION PO BOX 12927, AUSTIN,
TEXAS 78711-2927

512-463-7610

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INTRODUCTION

The *Texas State Records Retention Schedule* (RRS) is adopted as an administrative rule of the Texas State Library and Archives Commission and supersedes the schedule of September 1, 2007.

This retention schedule indicates the minimum length of time listed records series must be retained by a state agency before destruction or archival preservation. The RRS does not take the place of an agency's retention schedule, but is to be used as a guide by the agency in creating and updating its schedule. Records series listed on the RRS are those that are commonly found in most state agencies. The retention periods given in the RRS are required minimums. The commission also recommends them as appropriate maximum retention periods.

In addition to the common records listed in the RRS, each agency has unique records series that must be included in its retention schedule. Each agency must submit a complete records retention schedule, entered on Form SLR 105, or an approved facsimile, to the State and Local Records Management Division of the Texas State Library and Archives Commission (Government Code, §441.185).

Some records in this schedule must be transferred to the Archives and Information Services Division of the Texas State Library and Archives Commission for archival preservation after they are no longer needed in the agency; other records in this schedule are subject to archival review for historical value by staff of the same division before disposal.

If a federal or state statute or regulation specifies a longer retention period for any records series received, created, or maintained by an agency, the statute or regulation overrides this schedule.

SUMMARY OF IMPORTANT POINTS

- The RRS does not take the place of an agency records retention schedule.
- The RRS is to be used as an authoritative guide in creating and updating an agency records retention schedule.
- Retention periods listed in the RRS are required minimums. Some agencies may need to keep some of the records listed for longer periods; agency legal staff should be consulted.
- Federal or state statutes or regulations requiring longer retention periods override retention periods in the RRS.
- For individual records series, there may be requirements in law or regulation for submitting copies of records to other state agencies. Each agency should determine any requirements for filing copies that may apply to the agency's specific records series.
- Each agency must submit a complete records retention schedule to the State and Local Records Management Division of the Texas State Library and Archives Commission.
- For assistance in evaluating records having possible historical value, contact the Archives and Information Services Division of the Texas State Library and Archives Commission at 512-463-5480.

EXPLANATION OF FIELDS

RECORDS SERIES ITEM NUMBER — Records series item numbers are assigned by the State and Local Records Management Division of the Texas State Library and Archives Commission.

RECORDS SERIES TITLE — The most general titles possible have been chosen. Explanations are provided for those titles which are not self-explanatory.

VITAL RECORDS — Vital records are those that are essential to resume business or continue an organization, to recreate an agency's financial or legal position, or to preserve the rights of employees and citizens. Records series commonly regarded as vital have been so designated, but are not made mandatory by this schedule. The records management officer in each agency is responsible for determining which records series of the agency are vital. Records series unique to the agency may be vital and some records series designated as vital in this schedule may not be so in the agency, depending on the nature of its internal recordkeeping systems.

ARCHIVAL — Those records series that must be transferred to the Archives and Information Services Division of the Texas State Library and Archives Commission for archival management. Archival codes are shown in the lower right corner of each page of the schedule (see page ix).

TOTAL RETENTION — Retention is expressed in years unless otherwise noted. Retention codes are listed in the lower left corner of each page of the schedule (see page ix).

COMMENTS — This column contains citations to applicable federal or state laws or regulations or other information

regarding records retention requirements.

EXPLANATION OF CODES

ARCHIVAL CODES:

A The records must be transferred to the Archives and Information Services Division of the Texas State Library and Archives Commission.

R The Archives and Information Services Division must be contacted for an archival review of the records before disposition. Those records determined to be archival must be transferred to the Archives and Information Services Division for long-term preservation.

Special Note: Staff of the Archives and Information Services Division conduct archival appraisals on a series by series basis. As a result of these appraisals, one or more records series of an agency bearing the Archival Code R may be found to lack sufficient archival value to merit transfer to the Archives and Information Services Division. In such instances, the agency will be instructed to use a special Archival Code E for the record series.

RETENTION CODES: All numbers used with retention periods are expressed in years unless otherwise indicated.

AC After Closed (or terminated, completed, expired, or settled): The record is related to a function or activity with a finite closure date.

AV As Long as Administratively Valuable: The immediate purpose for which the record was created has been fulfilled and any subsequent need for the record to conduct the operations of the agency, if any, has been satisfied.

CE Calendar Year End: December 31.

FE Fiscal Year End: August 31.

LA Life of Asset: The record is retained until the deposit of the asset.

PM Permanent: A record that possesses enduring legal, fiscal, or administrative value and must be preserved permanently by the agency.

US Until Superseded: The record is replaced by an updated version. If a record subject to this retention period is discontinued or is no longer required by law, the date of supersession is the date the decision to discontinue the record is made or the law takes effect. If the record relates to an employee, the date of supersession is the date of termination or the last date the record is needed with reference to the employee, as applicable. For example, an authorization for direct deposit (see Records Series Item Number 3.2.008) would be superseded on the date the last deposit is made under the authorization.

EXPLANATION OF TERMS

ARCHIVES NOTE – Emphasizes the need for action/attention by agency to ensure records with archival value are properly maintained/retained.

CFR – Code of Federal Regulations. Regulations of federal agencies adopted under authority of laws enacted by the U.S. Congress.

RECORD COPY – The document which is kept on file as an original or official record for the total retention period. It is distinct from a "working" or "convenience" copy, which is a duplicate used for reference purposes.

> **Caution:** Care must be taken by records management officers in determining if duplicate records are, indeed, convenience copies or if two or more copies of the same document must be considered record copies. It is very possible for the same document to be present in two or more units of a state agency and be the record copy in each unit if it serves a different function in each of those units.

RECORDS SERIES – A group of identical or related records with the same function and the same retention period that is evaluated as a unit for retention scheduling purposes.

RETENTION PERIOD – The amount of time a records series must be retained before destruction or archival preservation.

STATE PUBLICATION – Information in any format that is produced by the authority of or at the total or partial expense of a state agency or is required to be distributed under law by the agency, and is publicly distributed. The term does not include information the distribution of which is solely limited to contractors with or grantees of the agency, staff persons within the agency or within other government agencies, or members of the public under a request made under the Public Information Act, Government Code, Chapter 552. The term includes but is not limited to: a publication distributed in print; on microform; as audiovisual material; as interactive media or on electronic external storage device; as an on-line publication; which is an index to other on-line publications; as one or more text, graphic, or other digital files; or as a user interface to a computer database.

TAC — Texas Administrative Code. Regulations of state agencies adopted under authority of laws enacted by the Texas Legislature.

AMENDMENT NOTICE

"•" A bullet preceding the Records Series Item Number denotes the addition of a new records series or a revision to a records series as it appeared in the third edition of the Texas State Records Retention Schedule, issued as an administrative rule of the Texas State Library and Archives Commission. The revisions noted by a bullet are:

- Additions of new records series.
- Deletions of records series and/or their inclusion in another records series in the schedule.
- Changes to records series descriptions or titles.
- Changes to retention periods.
- Changes to the archival status of a records series.
- Changes to legal citations.
- Substantive changes to comments about the records series.

Occasionally, a records series will be deleted from this schedule because it has been determined that it is not a record maintained in most agencies, but it may remain a specialized record in some agencies.

Missing numbers in the Records Series Item Number sequence indicate that in prior editions of this schedule a records series was eliminated, combined with another records series, or was re-numbered. Records series eliminated or combined with another records series or re-numbered in this schedule for the first time are marked with a "•."

Numbers appearing in earlier editions of this schedule that are no longer used:

1.1.001	1.1.032	1.1.052	3.1.003	3.3.002	4.5.004
1.1.003	1.1.033	1.1.054	3.1.004	3.3.003	4.6.004
1.1.005	1.1.034	1.2.002	3.1.005	3.3.005	5.1.002
1.1.009	1.1.035	1.2.007	3.1.007	3.3.006	5.1.006
1.1.012	1.1.036	1.2.009	3.1.008	3.3.007	5.1.008
1.1.015	1.1.037	2.1.003	3.1.009	3.3.008	5.1.009
1.1.016	1.1.039	2.1.004	3.1.010	3.3.009	5.1.016
1.1.017	1.1.042	2.1.005	3.1.015	3.3.012	5.2.013
1.1.018	1.1.044	2.1.006	3.1.016	3.3.013	5.3.001
1.1.022	1.1.045	2.2.003	3.1.017	3.3.014	5.3.006
1.1.025	1.1.046	2.2.005	3.1.025	3.3.016	5.4.005
1.1.028	1.1.047	2.2.006	3.1.028	3.3.017	5.4.006
1.1.029	1.1.049	2.2.007	3.1.030	3.3.018	5.5.005
1.1.030	1.1.050	2.2.008	3.1.032	3.3.019	5.6.006
1.1.031	1.1.051	2.2.009	3.1.033	3.3.021	

Category 1: Administrative Records

Section 1.1 – General

Item No.	Record Series Title	Vital	Archival	Total Retention	Remarks
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.
1.1.004	**Legislative Appropriation Requests** Including any supporting documentation created and/or used to justify and support legislative appropriations requests by an agency.		A	AC+6	AC = September 1 of odd-numbered calendar years. ARCHIVES NOTE: The archival requirement is met by sending the required copies of the requests to the Texas State Publications Depository Program, Texas State Library and Archives Commission. Only copies of supporting documentation submitted to the Legislative Budget Board are archival.
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.

Retention Codes
AC - After closed, terminated, completed, expired or settled
AV - As long as administratively valuable
CE - Calendar year end
FE - Fiscal year end

LA - Life of asset
PM - Permanent
US - Until superseded

Archival Codes
A - Transfer to Archives and Information Services Division
R - Review before disposal

Item No.	Record Series Title	Vital	Archival	Total Retention	Remarks
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.	X	R	4	ARCHIVES NOTE: Only the administrative correspondence of executive staff, board or commission members, division directors and program heads require archival review. Contact the State Archives when these records have met their retention periods. CAUTION: This records series and item number 1.1.008 should be used only for correspondence that is not included in or directly related to another records series on the agency's approved schedule. For example, a 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.
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.
1.1.010	**Directives** Any document that officially initiates, rescinds, or amends general office procedures.			US+1	

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Item No.	Record Series Title	Vital	Archival	Total Retention	Remarks
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.	X	A	US+3	
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.		R	CE+1	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.
1.1.014	**Legal Opinions and Advice** From agency legal counsel or the Attorney General, including any requests eliciting the opinions.		R	AV	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.
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.		R	2	

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Item No.	Record Series Title	Vital	Archival	Total Retention	Remarks
1.1.020	**Public Information Requests - Not Exempted** Includes all correspondence and documentation relating to requests for records that are furnished to the public under Public Information Act (Chapter 552, Government Code).			AC+1	AC = Date request fulfilled.
1.1.021	**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.
1.1.023	**Organization Charts**		A	US	
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.		R	AC+3	AC = Decision made to implement or not to implement result of planning process. ARCHIVES NOTE: Data processing planning records are not archival.
1.1.026	**Texas Register Submissions** 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.

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Item No.	Record Series Title	Vital	Archival	Total Retention	Remarks
1.1.027	**Proposed Legislation** Drafts of proposed legislation and related correspondence.			AV	
1.1.038	**Customer Surveys** 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.
1.1.040	**Speeches, Papers and Presentations** Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.		R	AC	AC = End of term in office or termination of service in a state position.
1.1.041	**Suggestion System Records** Suggestions submitted by agency personnel and responses.			1	
1.1.043	**Training Materials** Instructional materials developed by an agency for training entities or individuals it regulates or serves.			US+1	

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Item No.	Record Series Title	Vital	Archival	Total Retention	Remarks
1.1.048	**Litigation Files** Records created by or on behalf of an agency in anticipation of or in the adjudication of a lawsuit.		R	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. ARCHIVES NOTE: Cases that set legal precedent or exhibit historical value will be evaluated by the Archives and Information Services Division of the Texas State Library and Archives Commission for archival preservation.
1.1.053	**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.
1.1.055	**Strategic Plans** Information resources and operational strategic plans prepared in accordance with 2054.095 and 2056.002, Government Code.		A	AC+6	AC = September 1 of odd-numbered calendar years. ARCHIVES NOTE: The archival requirement is met by sending the required copies of the plans to the Texas State Publications Depository Program, Texas State Library and Archives Commission.
1.1.056	**ADA (Americans with Disabilities Act) Documentation** 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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Item No.	Record Series Title	Vital	Archival	Total Retention	Remarks
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 records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; telephone message notifications; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.			AC	AC = Purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).

Item No.	Record Series Title	Vital	Archival	Total Retention	Remarks
1.1.058	**Meeting Agenda and Minutes** Official agenda and minutes of state boards, committees, commissions, and councils that conduct open meetings as required by Government Code, Chapter 551.		A	PM	ARCHIVES NOTE: Agency retains permanent record copy. The archival requirement will be met by sending a copy to the Archives and Information Services Division, Texas State Library and Archives Commission. CAUTION: This 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.
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. Government Code, 551.104(a). SEE caution comment at item number 1.1.058.

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Item No.	Record Series Title	Vital	Archival	Total Retention	Remarks
1.1.060	**Meetings, Audio or Videotapes of Open** Audio or videotapes of open meetings of state boards, commissions, committees, and councils.			AC+90 days	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.
1.1.061	**Meeting - Notes** Notes taken during open meetings of state boards, commissions, committees, and councils from which written minutes are prepared.			AC+90 days	AC = Approval of the formal minutes by the governing body. SEE caution comment at item number 1.1.058.
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.		A	2	SEE caution comment at item number 1.1.058.

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1.1.063	**Staff Meeting Minutes and Notes** Minutes or notes, and supporting documentation, taken at internal agency staff meetings.			1	
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.	X		FE+3	CAUTION: The FE + 3 retention period overrides any shorter retention period for a records series in this schedule if the records series is needed for documentation of agency performance measures.
1.1.065	**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.
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.		A	AC+6	AC = September 1 of odd-numbered calendar years. ARCHIVES NOTE: The archival requirement is met by sending the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission.

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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.		R	3	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.
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.
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.

Item No.	Record Series Title	Vital	Archival	Total Retention	Remarks
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.	X	R	AC+3	AC = Completion or termination of program, rules, policies, or procedures. SEE ALSO Agency Rules, Policies and Procedures - Working Files, 1.1.071.
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.	X	R	AC+3	AC = Completion or termination of program, rules, policies, or procedures. SEE ALSO Records Series Item Number 1.1.070.
1.1.072	**Public Information Reports** Reports made to the Office of the Attorney General on an agency's Public Information Act activities.			2	

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Item No.	Record Series Title	Vital	Archival	Total Retention	Remarks
1.1.073	**Administrative Hearings** Transcripts and final decisions of hearings conducted as part of the regulatory process, and hearings on proposed rules and changes. The records may be maintained with related information including meeting notices, proofs of publication, and meeting minutes.		R	AC+3	AC = Last action.
1.1.074	**Sunset Review Report and Documentation**		R	AC+3	AC = After the subsequent Sunset Review.
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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Category 1: Administrative Records

Section 1.2 – Records Management

Item No.	Record Series Title	Vital	Archival	Total Retention	Remarks
1.2.001	**Destruction Authorizations** Agency level documents authorizing final disposition of records under a certified records retention schedule.			FE+3	
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.
1.2.004	**Forms Inventory** Any periodic listing of all forms used internally or externally by an agency.			US	
1.2.005	**Records Retention Schedule (SLR 105)** 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.

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Item No.	Record Series Title	Vital	Archival	Total Retention	Remarks
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.
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.
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	
1.2.011	**Record Center Storage Approval Forms (RMD 106)** Agency copy.			US	
1.2.012	**Records Inventory Worksheets**			US	
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.

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Item No.	Record Series Title	Vital	Archival	Total Retention	Remarks
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	
1.2.015	**Disaster Recovery Service Transmittals (RMD 109)** Also includes documentation for disaster recovery services provided by other entities.			FE+1	
1.2.016	**Disaster Recovery Service Approval Form (RMD 113)** Agency copy of form.			AC	AC = Until superseded or termination of service.

Item No.	Record Series Title	Vital	Archival	Total Retention	Remarks
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).
1.3.002	**Publication Development Files** Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.		R	AV	

Category 2: Electronic Data Processing Records
Section 2.1 – Automated Applications

Item No.	Record Series Title	Vital	Archival	Total Retention	Remarks
2.1.001	**Processing Files** Machine-readable files used in the creation, utilization, and updating of master files.	X		AC	AC = Completion of 3rd verification cycle, or audit completion confirming successful transaction processing, or required audit trail maintenance, or the ability to restore or migrate when errors are detected or when hardware or software changes occur. CAUTION: Records management officers must be certain before assigning the retention period of AC to agency automated processing files that the files do not fall under records series listed elsewhere.
2.1.002	**Master Files** Relatively long-lived computer files containing organized and consistent sets of complete and accurate electronic records. Examples include, but are not limited to, data tables of relational databases used by applications or computer programs.	X		AC	AC = Completion of 3rd verification cycle, or audit completion confirming successful transaction updates, or required audit trail maintenance, or the ability to restore or migrate when errors are detected or when hardware or software changes occur. CAUTION: Records management officers must be certain before assigning the retention period of AC to agency automated processing files that the files do not fall under records series listed elsewhere.

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Item No.	Record Series Title	Vital	Archival	Total Retention	Remarks
2.1.007	**Software Programs** Automated software applications and operating system files including job control language, program listing/source code, etc.	X		AC	AC = Until electronic records are transferred to and made usable in a new software environment or there are no electronic records being retained to meet an approved retention period that require the software to be retrieved and read. 13 TAC 6.94. CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.
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.	X		AC	AC = Until electronic records are transferred to and made usable in a new hardware environment or there are no electronic records being retained to meet an approved retention period that require the hardware to be retrieved and read. 13 TAC 6.94. CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.

Item No.	Record Series Title	Vital	Archival	Total Retention	Remarks
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.	X		AC	AC = Until electronic records are transferred to and made usable in a new hardware or software environment with new documentation or there are no electronic records being retained to meet an approved retention period that require the documentation to be retrieved and read. 13 TAC 6.94. CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.

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Item No.	Record Series Title	Vital	Archival	Total Retention	Remarks
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.	X		AC	AC = All audit requirements have been met.
2.1.011	**Finding Aids, Indexes, and Tracking Systems** Automated indexes, lists, registers, and other finding aids used to provide access to records.	X		AC	AC = The related records have been destroyed. CAUTION: These records must carry the same retention period and archival code of the records they support.

Category 2: Electronic Data Processing Records
Section 2.2 – Computer Operations and Technical Support

Item No.	Record Series Title	Vital	Archival	Total Retention	Remarks
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	

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Item No.	Record Series Title	Vital	Archival	Total Retention	Remarks
2.2.002	**Chargeback Records to Data Processing Services Users** Records used to document, calculate costs, and bill program units for computer usage and data processing services. These records are also used for cost recovery, budgeting, or administrative purposes.			FE+3	
2.2.004	**Computer Job Schedules and Reports** Schedules or similar records showing computer jobs to be run and other reports by computer operators or programmers of work performed.			3 MO	
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.	X		US+3	CAUTION: Does not include technical documentation of procedures necessary for reading or processing of electronic records. SEE item number 2.1.009.

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Item No.	Record Series Title	Vital	Archival	Total Retention	Remarks
2.2.011	**Batch Data Entry Control Records** Forms and logs used to reconcile batches submitted for processing against batches received and processed.			AC	AC = When reconciliation confirmed.
2.2.012	**Output Records for Computer Production** Reports showing transactions that were accepted, rejected, suspended, and/or processed.	X		AV	
2.2.013	**Quality Assurance Records** Information verifying the quality of system, hardware, or software operations including records of errors or failures and the loss of data resulting from such failures, documentation of abnormal termination and of error free processing, checks of changes put into production, transaction histories, and other records needed as an audit trail to evaluate data accuracy.			AC	AC = No longer needed as an audit trail for any records modified.

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Item No.	Record Series Title	Vital	Archival	Total Retention	Remarks
2.2.014	**Internet Cookies** Data resident on hard drives that make use of user-specific information transmitted by the Web server onto the user's computer so that the information might be available for later access by itself or other servers.			AV	The disposal of Internet cookies need not be documented through destruction authorizations (1.2.001) or in records disposition logs (1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (1.2.014).
2.2.015	**History Files - Web Sites** A record of the documents visited during an Internet session that allows users to access previously visited pages more quickly or to generate a record of usage of a state-owned computer.			AV	
2.2.016	**Software Registrations, Warranties, and License Agreements**	X		LA+3	

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Category 3: Personnel Records

Section 3.1 – Employee

Item No.	Record Series Title	Vital	Archival	Total Retention	Remarks
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]. 29 CFR 1602.49(a) [State Universities].
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.
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.

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Item No.	Record Series Title	Vital	Archival	Total Retention	Remarks
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. CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item number 3.2.001.
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]. 29 CFR 1602.49(a) [State Universities].
3.1.013	**Employment Contracts** a) Executed, renewed, or amended on or after September 1, 2015. b) Executed, renewed, or amended on or before August 31, 2015.	X		 AC+7 AC+4	Government Code, 441.1855 AC = Expiration or termination of the contract according to its terms.

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Item No.	Record Series Title	Vital	Archival	Total Retention	Remarks
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.	X		2	29 CFR 1602.31 [State Agencies]. 29 CFR 1602.49(a) [State Universities]. CAUTION: Does not include criminal history checks. SEE item number 3.1.026.
3.1.018	**Grievance Records** Records relating to the review of employee grievances against personnel policies, working conditions, etc.	X		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.
3.1.019	**Performance Appraisals**			2	29 CFR 1620.32(c).
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.

Item No.	Record Series Title	Vital	Archival	Total Retention	Remarks
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.	X		AC+5	AC = Termination of employment.
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]. 29 CFR 1602.49(a) [State Universities].

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Item No.	Record Series Title	Vital	Archival	Total Retention	Remarks
3.1.023	**Position/Job Descriptions** Job descriptions, including all associated task or skill statements, for positions in an agency.	X		AC+4	AC = Until superseded or job eliminated. 40 TAC 815.106(i).
3.1.024	**Physical Examinations/Medical Reports** Medical or physical examination reports or certificates of employees for whom periodic monitoring of health or fitness is required.			AC+2	AC = Until superseded or termination of employment. CAUTION: Does not include pre-employment physical examinations. SEE item number 3.1.014.
3.1.026	**Criminal History Checks** Criminal history record information on job applicants or agency employees obtained from the Department of Public Safety (DPS).			AC	AC = The criminal history record has served the immediate purpose for which it was obtained. CAUTION: An agency that is authorized to obtain a criminal history record information from DPS must refer to its agency's legislation or see Subchapter F, Chapter 411, Government Code for appropriate retention and use of this information.
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.

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Item No.	Record Series Title	Vital	Archival	Total Retention	Remarks
3.1.029	**Employment Eligibility, Documentation or Verification of** Federal reporting form (INS I-9).	X		AC+1	AC = Termination of employment. CAUTION: Federal regulation requires that INS 1-9 forms be retained for 3 years from date of hire or 1 year after separation of the employee, whichever later. Agencies should make certain that the INS I-9 forms for employees who terminate from an agency less than 3 years from date of hire are kept for the 3 year retention period. 8 CFR 274a.2(b)(2)(i)(A) and (c)(2).
3.1.031	**Employee Benefits - Other than Insurance** Agency copies of information relating to the selection of available benefit options other than insurance.	X		AC+2	AC = Until superseded or termination of employment CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item number 3.2.001.
3.1.034	**Resumes - Unsolicited** Retention period applies if an agency replies to the sender of a resume that it will be kept on file should future job openings occur.			AV	SEE item number 3.1.014 for resumes, whether solicited or unsolicited, that are used in any way in the employment selection process.

Item No.	Record Series Title	Vital	Archival	Total Retention	Remarks
3.1.035	**Performance Bonds** Bonds posted by employees and individuals or entities under contract with an agency for the performance of the duties of a position or the terms of a contract with the agency. a) Executed, renewed, or amended on or after September 1, 2015. b) Executed, renewed, or amended on or before August 31, 2015.	X		 AC+7 AC+4	Government Code, 441.1855 AC = Expiration or termination of the bond according to its terms. CAUTION: Does not include construction or architectural surety bonds. SEE item number 5.2.028. SEE related item 5.1.001 Contracts and Leases.
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	29 CFR 30.8(e).
3.1.037	**Employee Recognition Records** Awards, incentives, tenure, etc.			AC+5	AC = Termination of employment.

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Item No.	Record Series Title	Vital	Archival	Total Retention	Remarks
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.	X		US	SEE item number 3.3.011.
3.1.039	**Ombudsman Records** Consultation records, notes, letters, memos, emails, reports and other documentation.			AC	AC = Final decision or matter closed. CAUTION: Does not include formal complaint filed with EEO. If matter becomes a grievance or the subject of counseling or litigation, or employee is subject to disciplinary action, the records are subject to retention in the appropriate records series. SEE 1.1.048, 3.1.006, 3.1.018, 3.1.020, and 3.1.021.

Category 3: Personnel Records

Section 3.2 – Payroll

Item No.	Record Series Title	Vital	Archival	Total Retention	Remarks
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.	X		AC+4	AC = After termination of employee or after amendment, expiration, or termination of authorization, whichever sooner.
3.2.002	**Employee Earnings Records**	X		4	40 TAC 815.106(i).
3.2.003	**Federal Tax Records** Includes 1099, W2, FICA, and other tax records.	X		AC+4	AC = Tax due date, date the claim is filed, or date tax is paid whichever is later. 26 CFR 31.6001 - 1(e)(2).
3.2.004	**Income Adjustment Authorizations** Used to make increases or decreases to employees' gross pay, FICA, retirement, or in the computation of taxes.	X		2	29 CFR 516.6(c).
3.2.005	**W-4 Forms** Employer's copy of "Employees' Withholding Exemption Certificate."	X		AC+4	AC = Until superseded, obsolete, or upon separation of employee. 26 CFR 31.6001-1 (e)(2).
3.2.006	**Wage Rate Tables**			2	29 CFR 516.6(a)(2).
3.2.007	**Unemployment Compensation Records**			AC+5	
3.2.008	**Direct Deposit Application/Authorizations**	X		US	

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Item No.	Record Series Title	Vital	Archival	Total Retention	Remarks
3.2.009	**State Deferred Compensation Records**	X		AC+5	AC = All accounts with a vendor or vendors for the individual participant have been closed. For instructions regarding the determination of the closure of accounts and for additional information regarding the retention period see the most current edition of the *Benefits Coordinator Reference Manual* issued by the Employees Retirement System of Texas.
3.2.010	**Human Resources Information System (HRIS) Reports** Includes supporting documentation.	X		AC+4	

Category 3: Personnel Records
Section 3.3 – Personnel Administration

Item No.	Record Series Title	Vital	Archival	Total Retention	Remarks
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.
3.3.004	**Benefit Plans** Employee benefit plans such as pension; life, health, and disability insurance; deferred compensation; etc., including amendments.			US+1	29 CFR 1627.3(b)(2).
3.3.010	**Labor Statistics Reports** Reports providing statistical information on labor force.			3	

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Item No.	Record Series Title	Vital	Archival	Total Retention	Remarks
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.	X		AC+75	AC = Termination of employment. See item number 3.1.038.
3.3.015	**Positions/Job Classification Review File** Records relating to review and monitoring of job classifications within an agency.			US+3	
3.3.020	**Work Schedules/Assignments** Work, duty, shift, crew, or case schedules, rosters, or assignments.			1	
3.3.022	**Texas Workforce Commission (TWC) Reports** Reports to the agency from TWC or its predecessor pertaining to employees.			3	
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	

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Item No.	Record Series Title	Vital	Archival	Total Retention	Remarks
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	
3.3.025	**Job Procedure Records** Any documents detailing the procedural duties and responsibilities of agency positions on a position-by-position basis.			US+3	
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	
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	29 CFR 1602.31 [State Agencies]. 29 CFR 1602.49 [State Universities]. CAUTION: One copy of each different test (different in terms of either questions or administration procedures) should be retained for the period indicated.

Item No.	Record Series Title	Vital	Archival	Total Retention	Remarks
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.			2	29 CFR 1602.31 [State Agencies]. 29 CFR 1602.49 [State Universities].
3.3.029	**Aptitude and Skills Tests (Validation Records)** Records of the validation of aptitude and skills tests.			AC+2	AC = As long as the test is used by an agency. 29 CFR 1602.31 [State Agencies]. 29 CFR 1602.49 [State Universities].
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.
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.
3.3.032	**Equal Pay Records** Reports, studies, aggregated or summary data, and similar documentation compiled to monitor and demonstrate compliance with the federal Equal Pay Act.	X		3	29 CFR 1620.32.

Category 3: Personnel Records

Section 3.4 – Time and Leave

Item No.	Record Series Title	Vital	Archival	Total Retention	Remarks
3.4.001	**Accumulated Leave Adjustment Requests** Used to create employee leave balances, to transfer leave balances when an employee transfers positions, to adjust carry-over balances on August 31, to correct errors on leave accumulation, and to close out leave accounts on separated employees.			FE+3	
3.4.002	**Leave Status Reports** Cumulative report is issued each pay cycle and provides employee leave status information for each position.	X		FE+3	
3.4.003	**Less Than Full-Time Worked Reports** Dates and hours.			4	40 TAC 815.106(i).
3.4.004	**Overtime Authorizations**			2	
3.4.005	**Overtime Schedules**			2	
3.4.006	**Time Cards and Time Sheets**			4	40 TAC 815.106(i).
3.4.007	**Time Off and/or Sick Leave Requests**			FE+3	

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Item No.	Record Series Title	Vital	Archival	Total Retention	Remarks
3.4.008	**Sick Leave Pool Documentation** Requests submitted, approvals, number of hours transferred in and out, etc.			FE+3	

Category 4: Fiscal Records

Section 4.1 – Worksheets, Detail Information on Financial Event or Transaction

Item No.	Record Series Title	Vital	Archival	Total Retention	Remarks
4.1.001	**Accounts Payable Information**			FE+3	
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.
4.1.003	**Canceled Checks/Stubs/Warrants/Drafts**			FE+3	
4.1.004	**Encumbrance Detail**			FE+3	
4.1.005	**Inventory and Other Cost Files** Production, job, labor, quotes, pricing, specifications, etc.			FE+3	
4.1.006	**Investment Transaction Files**			FE+3	
4.1.007	**Transfers or Budget Revisions** Transfers or adjustment to budgets.			FE+3	
4.1.008	**Electronic Fund Transfers** Direct Deposit Registers.			FE+3	

Category 4: Fiscal Records
Section 4.2 – Documents of Original Entry

Item No.	Record Series Title	Vital	Archival	Total Retention	Remarks
4.2.001	**Cash Deposit Vouchers** Cash deposit slips.			FE+3	
4.2.002	**Cash Receipts** Includes receipts for fees (permits, licenses, renewals, etc.).			FE+3	
4.2.003	**Daily Cash Receipts Logs**			FE+3	
4.2.004	**Encumbrance Vouchers** Orders, statements, change orders, etc.			FE+3	
4.2.005	**Purchase Vouchers** Requisitions, receiving reports, invoices, or statements, change orders, best value determinations, etc.			FE+3	
4.2.006	**General Journal Vouchers**			FE+3	
4.2.007	**Expenditure Vouchers** Travel, payroll, etc.			FE+3	

Category 4: Fiscal Records
Section 4.3 – Journals or Registers

Item No.	Record Series Title	Vital	Archival	Total Retention	Remarks
4.3.001	**Sales Journals or Registers**			FE+3	

Item No.	Record Series Title	Vital	Archival	Total Retention	Remarks
4.3.002	**Receipts Journals or Registers**			FE+3	
4.3.003	**Expenditures Journals or Registers**			FE+3	

Category 4: Fiscal Records

Section 4.4 – Ledgers

Item No.	Record Series Title	Vital	Archival	Total Retention	Remarks
4.4.001	**General and Subsidiary Ledgers**	X		FE+3	
4.4.002	**Accounts Receivable Ledgers**	X		FE+3	
4.4.003	**Accounts Payable Ledgers**			FE+3	
4.4.004	**Employee Savings Bond Ledgers**	X		FE+3	

Category 4: Fiscal Records

Section 4.5 – Reports

Item No.	Record Series Title	Vital	Archival	Total Retention	Remarks
4.5.001	**Worksheets for Preparing Fiscal Reports**			FE+3	
4.5.002	**Internal Fiscal Management Reports** Includes agency monthly budget reports.			FE+3	

Item No.	Record Series Title	Vital	Archival	Total Retention	Remarks
4.5.003	**Annual Financial Reports** 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.
4.5.005	**External Fiscal Reports** Special purpose - i.e. federal financial reports, salary reports, etc. Includes HUB Reports.			FE+3	
4.5.006	**Annual Operating Budgets** Required by the General Appropriations Act.			FE+3	
4.5.007	**USAS Reports – Daily**			AC	AC = Receipt and reconciliation of monthly report.
4.5.008	**USAS Reports - Monthly**			AC	AC = Receipt and reconciliation of annual report.
4.5.009	**USAS Reports - Annual**			FE+3	

Category 4: Fiscal Records

Section 4.6 – Documents Showing Compliance with System of Internal Control

Item No.	Record Series Title	Vital	Archival	Total Retention	Remarks
4.6.001	**Balancing Records**			FE+3	
4.6.002	**Reconciliations**			FE+3	

Item No.	Record Series Title	Vital	Archival	Total Retention	Remarks
4.6.003	**Cash Counts**			FE+3	

Category 4: Fiscal Records

Section 4.7 – Other Fiscal

Item No.	Record Series Title	Vital	Archival	Total Retention	Remarks
4.7.001	**Accounting Policies and Procedures Manual**	X		US+3	
4.7.002	**Bank Statements**			FE+3	
4.7.003	**Returned Checks/Warrants/Drafts (Uncollectable)**			AC+3	AC = After deemed uncollectable.
4.7.004	**Capital Asset Records**			LA+3	
4.7.005	**Claim Files**	X		AC+3	AC = Resolution of claim.
4.7.006	**Comptroller Statements**			FE+3	
4.7.007	**Detail Chart of Accounts** One for all accounts in use for a fiscal year.			FE+3	

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Item No.	Record Series Title	Vital	Archival	Total Retention	Remarks
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.	X		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 funding agency. Agencies must ensure that records are retained for the appropriate retention period.
4.7.009	**Fixed Asset Sequential Number Logs**			US+3	
4.7.010	**Long-Term Liability Records** Bonds, etc.	X		AC+3	AC = Retirement of debt.
4.7.011	**Texas Facilities Commission Statements (TFC)** Charge or bill statements received by agencies from the TFC for services provided.			FE+3	
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.			US+FE+3	

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Item No.	Record Series Title	Vital	Archival	Total Retention	Remarks
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. a) Executed, renewed, or amended on or after September 1, 2015. b) Executed, renewed, or amended on or before August 31, 2015.	X		 AC+7 AC+4	Government Code, 441.1855 AC = Expiration or termination of the instrument according to its terms. SEE related item numbers 3.1.035 Performance Bonds and 5.3.007 Bid Documentation. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs.
5.1.003	**Delivery Reports**			2	

Item No.	Record Series Title	Vital	Archival	Total Retention	Remarks
5.1.004	**Mail and 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	
5.1.005	**Postage Records** Records and reports of postage expenses, including postal meter usage.			FE+3	
5.1.007	**Requisitions for In-Agency or Inter-Agency Copy/Printing Service** Includes word processing and data processing.			AV	
5.1.010	**Licenses and Permits for Non-vehicles** Does not include licenses and permits issued by an agency as part of its statutory responsibilities.	X		AC+2	AC = Expiration date of license or permit.
5.1.011	**Photocopier and Telefax Usage Logs & Reports**			AV	
5.1.012	**Charge Schedules/Price Lists** Schedules of prices charged by an agency for services to the public or other agencies, including any documentation used to determine the charges.			US+3	

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Item No.	Record Series Title	Vital	Archival	Total Retention	Remarks
5.1.013	**Insurance Policies** For vehicles, equipment, etc. a) Executed, renewed, or amended on or after September 1, 2015. b) Executed, renewed, or amended on or before August 31, 2015.	X		 AC+7 AC+4	Government Code, 441.1855 AC = Expiration or termination of the policy according to its terms.
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	
5.1.015	**Correspondence Tracking Records** Any record created by an agency to track any type of incoming and outgoing correspondence or packages by the U.S. Postal Service or by private couriers.			1	
5.1.016	Records series now included in 1.1.057.				See 1.1.057.

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Item No.	Record Series Title	Vital	Archival	Total Retention	Remarks
5.1.017	**Contract Log** List of agency contracts, leases, and agreements including general obligation, land lease, utilities, and construction contracts.			FE+3	

Category 5: Support Services Records
Section 5.2 – Facility Management

Item No.	Record Series Title	Vital	Archival	Total Retention	Remarks
5.2.001	**Appraisals - Building or Property**	X	R	AV	
5.2.002	**Building Construction Project Files** Planning, design, and construction records; accepted and rejected bids; correspondence; etc.	X	R	AC+10	AC = Completion of project. SEE ALSO item numbers 5.2.003 and 5.2.028.
5.2.003	**Building Plans and Specifications** Includes architectural and engineering drawings, profiles, and blueprints.	X	R	State owned: LA Leased: AC+2	AC: For leased buildings, AC = Termination or cancellation of lease. SEE ALSO item numbers 5.2.002 and 5.2.028. ARCHIVES NOTE: Archival review designation is for state-owned buildings only.
5.2.004	**Building Space Requests**			1	
5.2.005	**Calibration Records (Equipment or Instrument)**			10	
5.2.006	**Property Destruction, Certificates of**			FE+3	

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Item No.	Record Series Title	Vital	Archival	Total Retention	Remarks
5.2.007	**Damage Reports** Reports of damage to state property.			FE+3	
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.
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	
5.2.010	**Equipment Manuals**			LA	
5.2.011	**Equipment Warranties**			AC+1	AC = Expiration of Warranty.
5.2.012	**Estimate Files (Supply and Repair Cost Estimates)**			1	
5.2.014	**Inventory - Annual Physical** Property, equipment, supply verification.			FE+3	
5.2.015	**Inventory, Notices of Equipment Removed From**			FE+3	

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Item No.	Record Series Title	Vital	Archival	Total Retention	Remarks
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.
5.2.017	**Lost & Stolen Property Reports**			FE+3	
5.2.018	**Quality Control Reports**			2	
5.2.019	**Service Orders** Agency copy of forms completed by mechanical service personnel for installation or repair. Includes billing code, service, labor, parts, and remarks.			1	
5.2.020	**Supply Usage Records**			FE+1	
5.2.021	**Surplus Property Sale Reports**			FE+3	
5.2.022	**Utility Usage Reports**			AV	
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	
5.2.024	**Material Specifications**			AC+2	AC = Material is no longer in the agency.
5.2.025	**Equipment Descriptions and Specifications**			AC+2	AC = Equipment is no longer in the agency.

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Item No.	Record Series Title	Vital	Archival	Total Retention	Remarks
5.2.026	**Facilities Reservation Logs** Reservation logs or similar records relating to the use of agency facilities such as meeting rooms, auditoriums, etc.			2	
5.2.027	**Space Utilization Reports**			AV	
5.2.028	**Building Construction Contract and Inspection Records** Building construction contracts, surety bonds, and inspection records.	X	R	LA+10	SEE ALSO item numbers 5.2.002 and 5.2.003.

Category 5: Support Services Records
Section 5.3 – Purchasing

Item No.	Record Series Title	Vital	Archival	Total Retention	Remarks
5.3.002	**Freight Bills Paid**			FE+3	
5.3.003	**Freight Claims**			AC+2	AC = Resolution of claim.
5.3.004	**Order - Acknowledgments**			AV	
5.3.005	**Packing Slips**			AV	

Item No.	Record Series Title	Vital	Archival	Total Retention	Remarks
5.3.007	**Bid Documentation** Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, successful and unsuccessful bids, and bid tabulation/evaluations.				
	a) Associated with a contract executed, renewed, or amended on our 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.
	b) Associated with a contract executed, renewed, or amended on our before August 31, 2015.			FE+3	
	c) Unsuccessful bids that do not meet agency submission requirements and are not included in bid evaluation process (e.g. withdrawn, missed submission deadline, incomplete submission, etc.).			AC+2	AC=Date of notification of denial or date of withdrawal, as applicable.

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Item No.	Record Series Title	Vital	Archival	Total Retention	Remarks
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	
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.

Category 5: Support Services Records
Section 5.4 – Risk Management

Item No.	Record Series Title	Vital	Archival	Total Retention	Remarks
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.	X		CE+5	29 CFR 1904.33. The Texas Department of Insurance retains copies of the reports submitted to it for 50 years.

Item No.	Record Series Title	Vital	Archival	Total Retention	Remarks
5.4.002	**Evacuation Plans** Plans for evacuation of agency facilities in cases of emergency.			US	
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.
5.4.004	**Fire Orders** Orders issued by Fire Marshal to correct deficiencies in compliance with the fire code.			AC+3	AC = Deficiency corrected.
5.4.007	**Hazardous Materials Training Records** Records of training given employees in an agency hazard communications program.			5	Texas Health and Safety Code, 502.009(g).
5.4.008	**Hazard Communication Plans**	X		US+5	Texas Health and Safety Code, 502.009(g).
5.4.009	**Workplace Chemical Lists**			30	Texas Health and Safety Code, 502.005(d).
5.4.010	**Material Safety Data Sheets**			AC	AC = After sheets are updated or hazardous chemical no longer stored by agency, as applicable.
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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Item No.	Record Series Title	Vital	Archival	Total Retention	Remarks
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.	X		AC+2	AC = Until superseded, date of expiration, or date of termination, whichever sooner.
5.4.013	**Disaster Preparedness and Recovery Plans**	X		US	

Category 5: Support Services Records
Section 5.5 – Telecommunications

Item No.	Record Series Title	Vital	Archival	Total Retention	Remarks
5.5.001	**Billing Detail - Telecommunications (Other Than TEX-AN)** In addition to summary detail, includes any accompanying detailed listing of long distance calls.			FE+3	SEE item number 5.5.006 for TEX-AN billing detail.
5.5.002	**Long Distance Telephone Logs** Long distance logs created by agencies for internal documentation purposes. Includes any similar logs created for long distance facsimile or electronic transmissions.			AV	

Item No.	Record Series Title	Vital	Archival	Total Retention	Remarks
5.5.003	**Station Activity Reports** Internal listing of incoming/outgoing telephone activity to individual telephone stations.			AV	
5.5.004	**System Activity Reports** Internal listing of all incoming/outgoing agency telephone activity.			AV	
5.5.006	**Billing Detail - Telecommunications (TEX-AN)** In addition to summary detail, includes any accompanying detailed listing of long distance calls.			FE+3	The billing agency will maintain all long distance TEX-AN records and will provide each using agency its bill summary of centralized capitol complex telephone service without call detail records. For these bill summaries, SEE item number 4.7.011. SEE item number 5.5.001 for billing detail from carriers other than TEX-AN.
5.5.007	**Disputed Call Documentation** Documentation relating to disputed long distance calls, including documents evidencing repayment by employees for personal long distance use.			FE+3	

Category 5: Support Services Records
Section 5.6 – Vehicles

Item No.	Record Series Title	Vital	Archival	Total Retention	Remarks
5.6.001	**Airplane Flight Logs**			State owned: LA + 3 Leased: FE + 3	
5.6.002	**Airplane Passenger Lists**			FE+3	
5.6.003	**Inspection Repair and Maintenance Records - Vehicles**			LA+1	
5.6.004	**License and Driving Record Checks**			AC	AC = Until superseded or until termination of employment.
5.6.005	**Vehicle Use Reports** Includes mileage, fuel/oil consumption, passengers carried and other related operational information.			FE+3	
5.6.007	**Vehicle Titles & Registrations**	X		LA	
5.6.008	**Pilot License Verifications**			AC+5	AC = Termination of employment.
5.6.009	**Parking Permits or Assignments**			US	

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