



Records Management

For New Employees

OOG Records Management Policy

“ All agency employees and interns are responsible for identifying agency records and ensuring that they are appropriately captured. ”



Office of the Governor
Records Management Policy

Effective July 17, 2018

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View the policy at:

Intranet → RESOURCES → Records Management

Records & Information Entrance Checklist



Office of the Texas Governor
Information Services

Records & Information Entrance Checklist

This checklist describes important records and information management (RIM) responsibilities you should understand as you begin OOG service. Please initial next to each statement to affirm, and direct any questions to your supervisor or the Records Management Officer. As a reminder, agency business should be performed on agency systems and accounts.

Employee Name (Please Print): _____

	Responsibility	Initial
1	I have attended the OOG's Records Management training, typically provided at New Employee Orientation.	
2	I have attended the OOG's Information Security training, typically provided at New Employee Orientation.	
3	I understand how to properly maintain and store OOG records I create, including in electronic and analog formats, and know where to save my records.	
4	I understand that I should not mix personal materials and agency business records together, and have set up procedures for maintaining personal materials separately from agency work.	
5	I am aware of agency policies related to the use of personal email accounts to conduct official business.	
6	I am aware of agency policies and procedures related to the use of new software, tools, or services to conduct agency business.	
7	<i>For staff who have been or will be provided with a mobile device:</i> I know how to ensure records created using the device are captured in agency record keeping systems.	

- Describes responsibilities for record identification and capture
- Provided by HR, also available on the "Records Management Forms" page of the Intranet
- Ask questions!
- **Return to the RMO.**
 - Needs to be back to HR within 2 weeks of your start date.
 - RMO forwards to HR after signing.

What is Records Management?

- Records management means:
 - **Keeping what we need** (and organizing it so we can find it) and
 - **Disposing of the “ROT”** (Redundant, Outdated, and Transitory information)

...in order to work more efficiently, keep our costs down, meet legal requirements, and reduce risks.



Identifying Agency Records

WHAT TO KEEP AND WHY TO KEEP IT

What is a Record?

- **OOG Record:** any **recorded information...**
 - created or received by the OOG or on the OOG's behalf
 - regardless of medium
 - that documents activities in the conduct of state business or use of public resources
- Defined by: Government Code § 441.180(11)
- **Also called:** *state records, agency records*



Keeping Records is the Law

Section 441.183. Records Management Programs in State Agencies.

The agency head of each state agency shall:

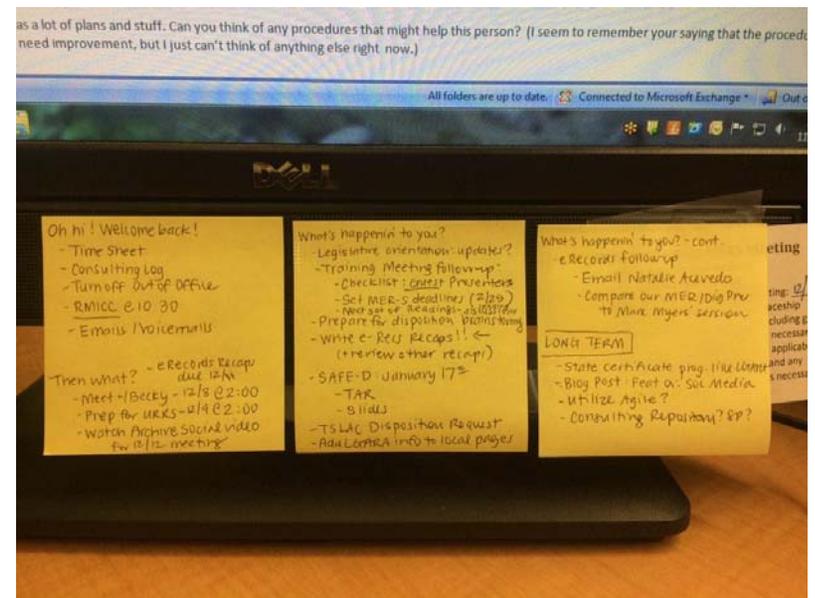
- (1) establish and maintain a records management program on a continuing and active basis;
- (2) create and maintain a records management program on a continuing and active basis;
- (3) make certain that all records are properly maintained and essential transactions are properly documented;
- (4) identify and take adequate steps to ensure that records are properly maintained and essential transactions are properly documented;
- (5) cooperate with the commission in the development and implementation of a records management program;
- (6) cooperate with the commission in the development and implementation of a records management program.

Each state agency **"shall create and maintain records** containing adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the agency designed to furnish information to protect the financial and legal rights of the state and any person affected by the activities of the agency."

Added by Acts 1997, 75th Leg., ch. 875, Sec. 1, eff. Sept. 1, 1997.

Transitory Information

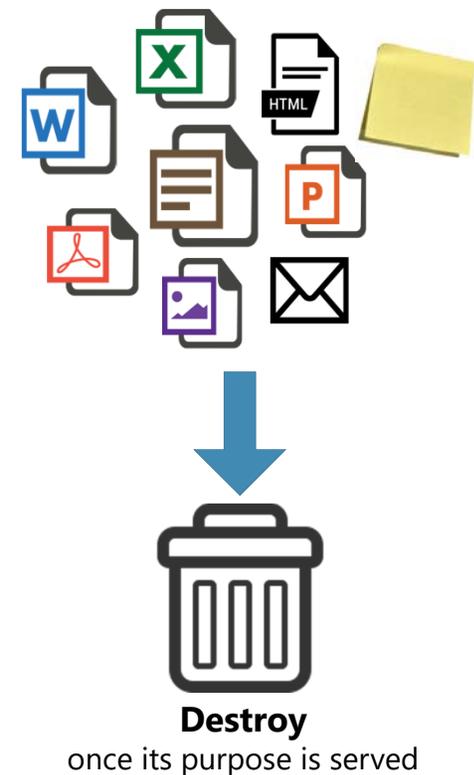
- **Transitory Information:** recorded information that documents OOG business but is...
 - Of only **temporary usefulness**
 - Needed only for a limited period of time to complete an action
 - Not essential to the documentation of agency functions or fulfillment of statutory requirements
 - Not normally kept or filed
- Defined by: *Texas State Records Retention Schedule* (13 TAC § 6.10)



The Post-it Note of the information universe

Transitory Information: Destroy when “purpose served”

- Transitory Information may be destroyed once it has **“served its immediate purpose.”**
- When would you delete/shred the following?
 1. Note to self reminding you to submit your timesheet
 2. Drafts of a (now-published) report
 3. Voicemail requesting a call back
 4. An out-of-office reply
 5. An email exchange where a meeting date/time is being decided
- **Still subject to PIRs, subpoenas, etc.**



Non-Records

- **Non-record:** recorded information that does not document OOG business. Examples:
 - Blank forms
 - Articles/whitepapers/other source material not published by the OOG
 - Reference books or educational materials
 - Ads/spam/promotional materials
 - Emails from coworkers that are not about work (keep this to a minimum)
 - List-serv messages you receive

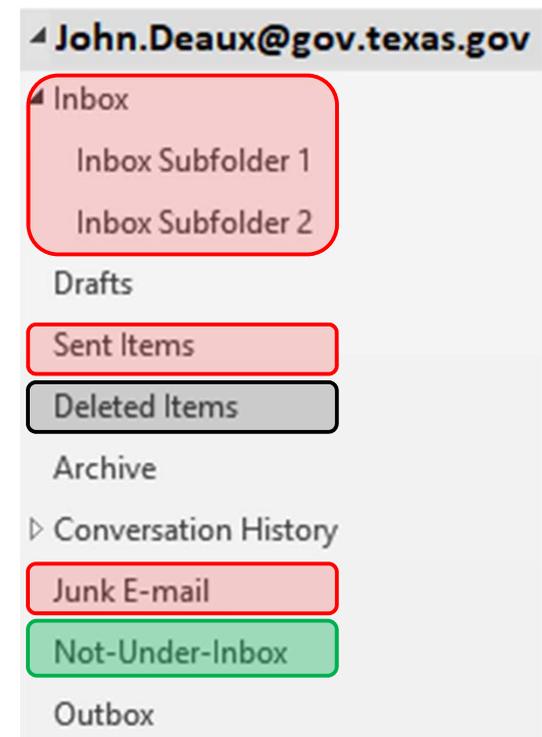


Destroy

once its purpose is served

Email Retention Policies

- **30-Day Retention Policy** applies to:
 - Inbox (including subfolders)
 - Sent Items
 - Junk E-mail
- If a message is a record, **you** are responsible for saving it.
- Deleted Items are removed **daily**
- Once emails are removed from the system, they are not recoverable



Who determines which emails to save?

- **All Agency Employees and Interns** are responsible for identifying agency records and ensuring that they are properly captured.
- Each **Division Director** (or Program Director, as applicable) oversees the proper classification of the division's records and information according to the records retention schedule, ensuring that records have been classified correctly.
- Not sure which emails to save (or where to save them)? Ask your supervisor.

OOG Records Management Policy Section 2 - Responsibilities

Records Retention

HOW LONG DOES A RECORD NEED TO BE KEPT?

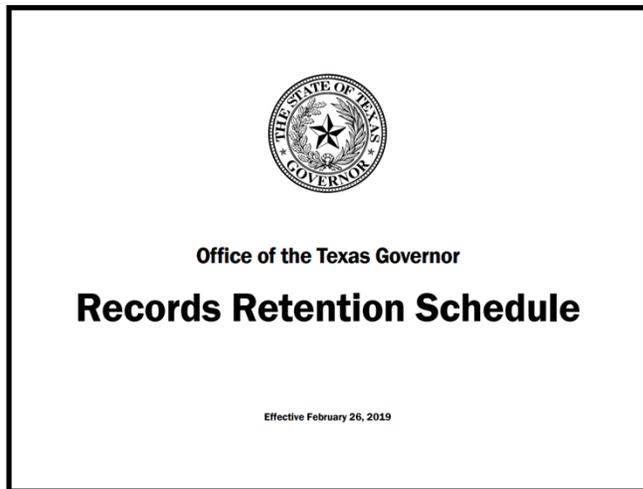
Not all records are created equal

- Each record has different value based upon
 - **what it is used for** and
 - **what it is proof of**
- The value of the record corresponds to the length of time we keep it.
- Some retention periods are dictated by rule or statute; others are based on best practice or business need.



A financial record – how long do you keep it?

The Records Retention Schedule



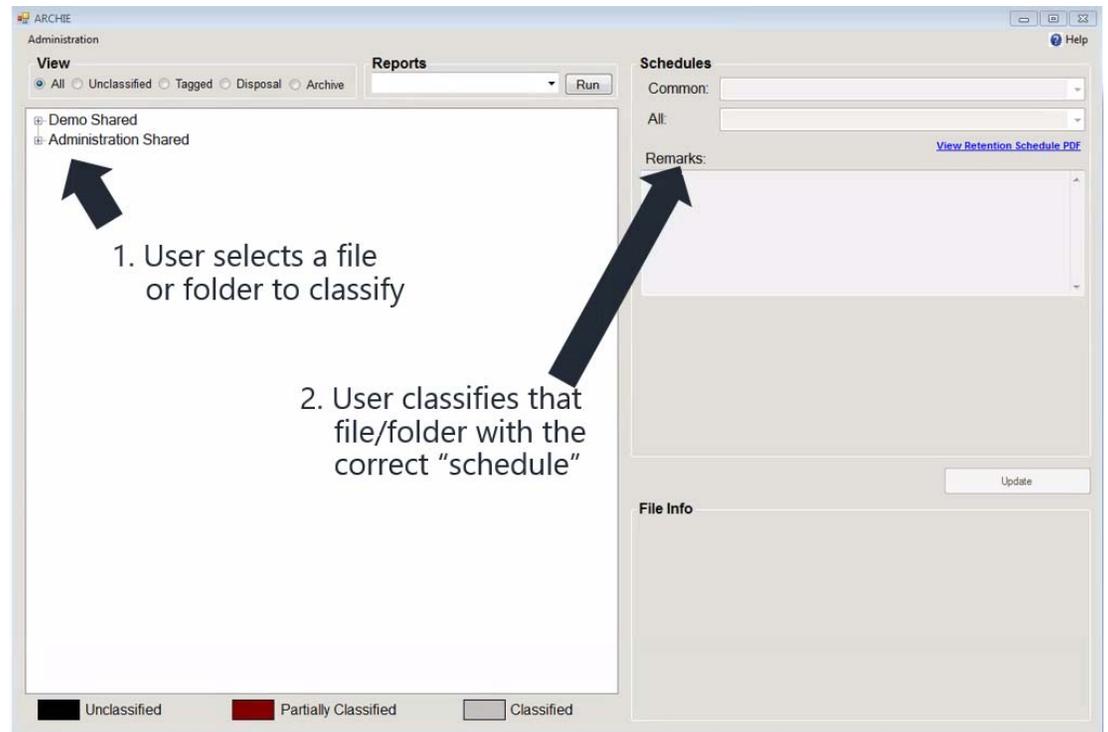
■ **List of all OOG record types, certified by the Texas State Library and Archives Commission, that dictates:**

1. How long each type of record must be kept.
2. Whether the record should be destroyed or transferred to the State Archives once it has met retention.

[Intranet](#) → [Resources](#) → [Records Management](#)

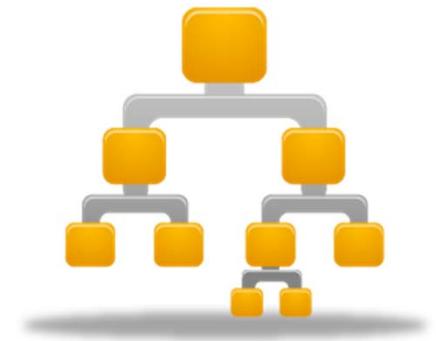
Archie

- A tool developed by Information Services that enables users to map digital documents to the Records Retention Schedule.



RM Guidelines for Shared Drives

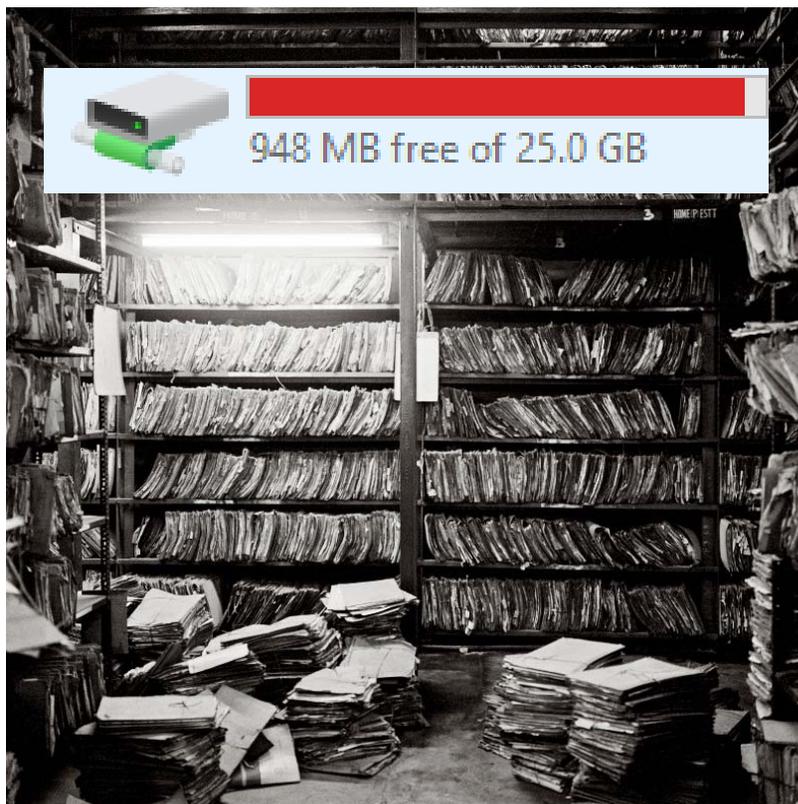
- Save records on your shared drive (not your U: drive)
 - ***Remember: Your records are the property of the Office of the Governor***
- Label things clearly – use concise, descriptive file/folder names, and put dates in file/folder names when applicable
- Classify your files in Archie (unless not required)



Final Disposition

WHEN AND HOW TO DISPOSE OF RECORDS

Why not keep everything?



- Not disposing of information when it meets retention creates:
 - Space crises
 - Excessive storage costs
 - Difficulty finding information to respond to PIRs, audits, and other business needs
 - Unnecessary legal and security risks

Final Disposition of Records

- A record may be destroyed (or transferred to the State Archives):
 - When it meets retention; and
 - Any PIR, audit, litigation, claim, or negotiation involving the record has been completed/fulfilled/resolved
- Records should be dispositioned on an **ongoing, periodic** basis.

Records Disposition Log



RECORDS DISPOSITION LOG

Office of the Governor of Texas

Division: Information Services

Prepared by: Erlich Bachman Date: September 27, 2019

WARNING: This form must be approved by the Division Director and Records Management Officer (RMO) before any records may be destroyed. Documentation of the destruction of state records is required by 13 TAC § 6.8.

STATE RECORDS ELIGIBLE FOR FINAL DISPOSITION: Use one row for each record series to be disposed of. Add additional rows as needed.								
AIN	Record Series Title <small>Add additional notes/descriptions as needed. You may attach supplemental documentation to this form.</small>	Retention Period	Archival Status <small>(A, R, or N/A)</small>	Dates of Records <small>(from - to)</small>	Volume	Disposition Method	Location <small>(optional)</small>	Date Disposed <small>(RMO use)</small>
77	Audits	AC+7	N/A	FY11- FY12	1 BOX	SHRED	SIB 1.500	
90	Plans and Planning Records	AC	A	2011- 2015	1 BOX	ARCHIVES	SIB 1.500	
121	Records Disposition Documentation <small>Records disposition logs – see attachment</small>	FE+10	N/A	FY09	<1 BOX	SHRED	OFFSITE STORAGE	
185a	Training Administration Records – Internal <small>Rosters and sign-in sheets</small>	FE+2	N/A	FY17	100 MB	DELETE	S: Drive	
305	IT Project Files <small>Retired systems</small>	AV	N/A	2003- 2015	1 GB	DELETE	S: Drive	

APPROVALS			
Division Director	I am not aware of any impending or ongoing litigation, audit, PIR, claim, negotiation, administrative review, or other action involving the records listed.	Print Name: _____ Signature: _____	Date Approved: _____
RMO	I certify that the disposition of the records listed is consistent with the requirements of Government Code Chapter 441 and rules adopted under it.	Print Name: _____ Signature: _____	Date Approved: _____

Archival Status: See retention schedule. A=Transfer to State Archives; R=Review by State Archivist required; N/A=Not archival
Disposition Method: Enter SHRED, DELETE, or ARCHIVES if archival status=A or R
Date Disposed: Actual date of destruction or transfer to State Archives. Entered by RMO. **MUST RECEIVE DIRECTOR & RMO APPROVALS PRIOR TO DISPOSAL.**

OOG Records Disposition Log | Rev. 9/27/2019

Documentation of the destruction of **state records** is required by 13 TAC § 6.8(b)(3)

The form is not required for transitory information

Quiz Time!

HOPE YOU STUDIED

Question 1



■ Where should you send your RIM Entrance Checklist after your supervisor signs it?

- a. ~~Human Resources~~
- b. ~~General Counsel~~
- c. ~~Your division director~~
- d. The RMO (Information Services)

Signatures needed:

1. Yours
2. Your Supervisor's
3. The RMO's

The RMO will send it on to HR.

Question 2



- **True or False:** Emails should be saved in accordance with the Records Retention Schedule.
 - Transitory information should be deleted when it has served its purpose.
 - Non-transitory information is subject to the OOG Records Retention Schedule and must be saved outside of the Inbox or Sent folders.
- **Bonus!** OOG uses a computer program called Archie to assign retention schedule information to shared network drive files.

Question 3



- When should you purge agency records that are eligible for final disposition?
 - a. When you are moving to a new office/desk
 - b. When someone is leaving the agency
 - c. On a periodic basis
 - d. When you are tired of looking at them

Regular and timely disposition of records is an important part of records management compliance.

Question 4



- True or **False**: Before deleting a reminder about New Employee Orientation, you must fill out a Records Disposition Log form.
- Meeting reminders are considered “transitory information” – you do not need approval or documentation to dispose of them.

Need help?

■ Division Records Management Coordinator (RMC)

- Appointed by the division director
- Coordinates records management for your division
- Communicates policy updates, rule changes, etc. to division staff

■ Agency Records Management Officer (RMO)

- Oversees the RM program for the agency
- Offers quarterly “Records Retention & ARCHIE” training
- Can help you with storage, imaging, filing systems, or anything else records-related

A current list of Division RMCs is on the Intranet:

[Resources](#) → [Records Management](#) → [RM Coordinators](#)

Don't be a stranger!



Angela Ossar, CRM

Information Governance Manager/RMO

SIB 1.500 – Information Services

(512) 463-8977

<http://intranet/site/resources/records>



Office of the Governor Employee Intranet

Record Storage

Need to store your inactive files? Here's what to do.

1. **Pack your files** into record storage boxes. Support Services and RMO typically have used boxes if you need them; submit a [HelpDesk ticket](#) (Category: Information Services > Records Management) if you need boxes. **If you need 10+ boxes** please contact the RMO for ordering information.
[↗ Guidelines for Preparing Records for Storage \(TSLAC Website\)](#)
2. **Label your boxes** using the [📄 Records Storage Box Label](#). Print your labels on Avery 5126 shipping labels. RMO has labels if you need them.
3. **Fill out** a [📄 Box Storage Request](#).
4. **Submit a [HelpDesk ticket](#)** (Category: Information Services > Records Management) and attach the Box Storage Request as a Word document.
5. **Add the boxes** to your [📄 Box Storage Log](#) or other list of stored boxes.

RMO will determine the appropriate storage location for your boxes, enter your box information into the corresponding tracking system, and request pickup.



Office of the Texas Governor

Records Retention Schedule

1st Amended Version

Effective December 18, 2019

Introduction

A Records Retention Schedule (Schedule) is a set of OOG policies that identifies the length of time a record series must be retained before destruction or archival preservation. If a state or federal statute or regulation specifies a longer retention period for any record series received, created, or maintained by our agency, the federal or state statute or regulation shall override this schedule. Please notify the Records Management Officer of any such requirements or regulations.

Some records in this Schedule must be transferred to the Archives and Information Services Division of the Texas State Library and Archives Commission (TSLAC) for archival preservation or reviewed for historical value after they are no longer needed in the agency. The Office of the Governor transfers records to the State Archives pursuant to Government Code § 441.201. Please contact the Records Management Officer for instructions on all records with an archival requirement prior to disposition.

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.

Explanation of Fields

Agency Item Number:	Numerical sequence assigned by the Office of the Governor (OOG) to identify and track records series internally.
Record Series Item Number:	Numerical sequence assigned by the State and Local Records Management Division of the Texas State Library and Archives Commission. When a record series is unique to the OOG, the number of the appropriate "Category" and "Section" from the <i>Texas State Records Retention Schedule</i> (TXRRS) has been entered.
Record Series Title:	The most general titles possible have been chosen.
Record Series Description:	An explanation of the scope and contents of the record series, when the record series title is not self-explanatory.
Retention Period:	The minimum length of time that a record series must be retained. Retention is expressed in years unless otherwise noted.
Archival:	Those records series that must be transferred, or evaluated, for archival preservation. Archival codes are listed at the bottom of each page.
AC Definition:	When a retention code of "AC" is used, the definition of the event that triggers the retention period.
Remarks/Legal Citations:	Additional instructions, applicable statute references or other legal citations that pertain to the series, or other remarks relevant to the record series.

Explanation of Codes

RETENTION CODES

- AC** Refer to “AC Definition” column for the specific retention trigger for this record series.
- 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 retention period is triggered by the disposal of the asset.
- PM** Permanent: A record that possesses enduring legal, fiscal, or administrative value and must be preserved permanently by the OOG.
- US** Until Superseded: The record is replaced by an updated version, or the decision is made to discontinue the record.

ARCHIVAL CODES

- A** The records must be transferred to the Archives and Information Services Division of the Texas State Library and Archives Commission (TSLAC) for long-term preservation.
- R** The TSLAC Archives and Information Services Division must be contacted for an archival appraisal 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.



STATE OF TEXAS
Records Retention Schedule

SLR 105

9th Recertification (1st Amended Version) | Effective 12/18/2019

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Agency Code	301	Agency Name	Office of the Governor			
Agency Item No.	TSLAC Item No.	Record Series Title/Description	Retention Period	Arch	AC Definition	Remarks/Legal Citations

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AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded	R – Review by State Archivist	





STATE OF TEXAS
Records Retention Schedule

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Agency Item No.	TSLAC Item No.	Record Series Title/Description	Retention Period	Arch	AC Definition	Remarks/Legal Citations

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Retention Codes					Archival Codes (Field 8)	
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Agency Code	301	Agency Name	Office of the Governor			
Agency Item No.	TSLAC Item No.	Record Series Title/Description	Retention Period	Arch	AC Definition	Remarks/Legal Citations

PART 1: AGENCY MANAGEMENT Section 1.1 General Administrative Functions

7	1.1	Received Reports – No Action Required Reports, correspondence, or other information required to be sent to the Office of the Governor (OOG) by statute or rule that require no action on the part of OOG.	AV			CAUTION: Follow statute or rule if a longer retention is required.
17	1.1.074	Sunset Review Report and Documentation Self-Evaluation Report (SER) and supporting documentation created by the agency as part of the Sunset Commission review process.	AC+3	R	AC = After the subsequent Sunset Review.	
63	1.1	Event Administration Records Records relating to the administration of a conference, forum, event, or tour that do not fall under another, more specific record series on this schedule. May include budgets, sent invitations, travel logistics, and related materials.	FE+3			CAUTION: For business promotion missions, SEE item number 32. For Governor's Mansion events, SEE item number 302. For event contracts or agreements, SEE item number 229.
79	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 = Resolution 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 98. Does not include employee complaints; SEE item number 151.

Retention Codes				Archival Codes (Field 8)	
AC – See 'AC Definition' Column	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	A – Transfer to State Archives	
AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded	R – Review by State Archivist	





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Agency Code	301	Agency Name	Office of the Governor			
Agency Item No.	TSLAC Item No.	Record Series Title/Description	Retention Period	Arch	AC Definition	Remarks/Legal Citations

80	1.1.007	<p>Executive Correspondence 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. Includes internal and external correspondence, in any format.</p> <p>This series also includes constituent communications and any other routine internal and external correspondence, in any format, sent or received by the Governor.</p>	AC	A	AC = End of term of office.	<p>CAUTION: This record series and item number 81 should be used only for correspondence that is not included in or directly related to another record series in this schedule. For example, a letter concerning an audit must be retained for the minimum retention period prescribed by item number 77 (Audits). SEE ALSO item number 83 (Executive Orders) and 333 (Proclamation Files).</p> <p>ARCHIVES NOTE: Three-dimensional (3D) objects retained by the OOG must be reviewed by the State Archivist prior to disposal.</p>
81	1.1.008	<p>General Correspondence Correspondence pertaining to or arising from the routine operations of the policies, programs, services, or projects of an agency. Includes internal and external correspondence, in any format.</p>	AC+2		AC = Date sent or received.	<p>CAUTION: Does not include general correspondence sent or received by the Governor; SEE item number 80.</p>

Retention Codes					Archival Codes (<i>Field 8</i>)	
AC – See ‘AC Definition’ Column	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	A – Transfer to State Archives		
AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded	R – Review by State Archivist		





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Agency Code	301	Agency Name	Office of the Governor			
Agency Item No.	TSLAC Item No.	Record Series Title/Description	Retention Period	Arch	AC Definition	Remarks/Legal Citations

84a	1.1.013	Calendars, Appointment and Itinerary Records - Executive Calendars, appointment books, and scheduling/itinerary records, maintained by staff during business hours, that document the activities of elected officials, executive administration, board or commission members, and division directors. Includes, but is not limited to, the Governor's daily schedule.	AC	A	AC = End of term of office.	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. SEE item number 84b for all other calendars.
84b	1.1.013	Calendars, Appointment and Itinerary Records - General Calendars, appointment books, and scheduling/itinerary records, maintained by staff during business hours, that document the activities of agency employees. Also includes common calendars used for coordinating work schedules/assignments or reserving conference rooms.	CE+1			CAUTION: SEE item number 84a for calendars of directors, board members, and executive administration. 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.
86	1.1.019	Public Relations Records Press releases, images, video footage, or any other public relations files maintained or issued by an agency. Includes print, electronic, audio, and audiovisual records.	AC	A	AC = End of term of office.	SEE item number 102 (Transitory Information) for images that are weeded out (as extraneous, unusable, almost-duplicates, etc.)

Retention Codes				Archival Codes (Field 8)	
AC – See 'AC Definition' Column	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	A – Transfer to State Archives	
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Agency Code	301	Agency Name	Office of the Governor			
Agency Item No.	TSLAC Item No.	Record Series Title/Description	Retention Period	Arch	AC Definition	Remarks/Legal Citations

89	1.1.023	Organization Charts	AC	A	AC = End of term of office.	
90	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	A	AC = Decision made to implement or not implement result of planning process.	
94	1.1.038	Customer Surveys Surveys returned by the customers or clients of an agency rating an agency's performance.	AC		AC = Final disposition of summary report.	SEE item number 112 (Reports and Studies (Non-Fiscal)) for summary reports compiled from customer surveys.
97	1.1.043	Training Materials - External Instructional materials developed by the agency for training entities or individuals it regulates or serves (through classes, seminars, workshops, etc.)	AC+1		AC = Until superseded or discontinued.	CAUTION: Does not include Crime Stoppers training; SEE item number 5d. SEE item number 185 for internal training materials. SEE ALSO item number 63 (Event Administration Records).
100	1.1.055	Strategic Plans Operational strategic plans prepared in accordance with Government Code § 481.172(a)(8) (Tourism) or § 2308.104 (TWIC). Also includes the long-range strategic plan authorized by Government Code § 2056.009, as applicable.	AC+6	A	AC = September 1 of odd-numbered calendar years.	ARCHIVES NOTE: Archival requirement met by sending copies to the Texas State Publications Depository Program. Government Code §§ 481.172(a)(8), 2056.009, and 2308.104

Retention Codes					Archival Codes (Field 8)	
AC – See 'AC Definition' Column	CE – Calendar Year End	LA – Life of Asset	PM – Permanent		A – Transfer to State Archives	
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102	1.1.057	<p>Transitory Information Records of temporary usefulness that are not an integral part of a record 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. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions.</p> <p>Examples of transitory information are drafts and working papers (but see caution note); routine messages (message slips, e-mail, or voice mail); internal meeting notices; incoming transmittal messages that add nothing of substance to enclosures; routing slips; internet cookies/browsing history; and similar routine information.</p>	AC		AC = Purpose of record has been fulfilled.	<p>CAUTION: This record series should only be assigned to a record that is not part of another record series listed in this schedule.</p> <p>The disposal of transitory information need not be documented.</p>
108	1.1.063	<p>Staff Meeting Minutes and Notes Minutes or notes, and supporting documentation, taken at internal agency staff meetings.</p>	AC+1		AC = Date created.	<p>NOTE: Intended for meeting summaries, substantive notes or reports and supporting documentation from internal meetings. Individual reminder notes or reference notes made by individuals may possibly be transitory or reference material. SEE item number 102.</p>

Retention Codes				Archival Codes (Field 8)	
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109	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.	FE+3			CAUTION: The FE+3 retention period overrides any shorter retention period for a record series in this schedule if the record series is needed for documentation of agency performance measures.
110	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 109 (Agency Performance Measures Documentation).

Retention Codes					Archival Codes (Field 8)	
AC – See 'AC Definition' Column	CE – Calendar Year End	LA – Life of Asset	PM – Permanent		A – Transfer to State Archives	
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111	1.1.066	<p>Reports - Biennial and 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.</p>	AC+6	A	AC = September 1 of odd-numbered calendar years.	<p>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 (TSLAC).</p> <p>Includes reports required by Education Code § 62.168; Government Code §§ 436.103, 481.005(d), 481.0066(d-2), 481.00681(h), 481.079, 481.412, 485A.053, 489.107, 490G.007, 772.006(a)(9), 772.0062(d)(6), 772.007(d), 2303.052, 2308.101(a)(14), 2308.101(b), 2308.1015(b), 2308.1016(b), 2310.052; and Human Resources Code § 115.009(3).</p>
112	1.1.067	<p>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. May include reports distributed either internally or externally. Includes, but is not limited to, the Annual Report of Nonfinancial Data prepared in accordance with Government Code § 2101.0115.</p>	AC+3	A	AC = Date created.	

Retention Codes				Archival Codes (Field 8)	
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113	1.1.068	Reports on Performance Measures Quarterly and annual reports on agency performance measures submitted to the executive and legislative budget offices.	AC+6		AC = September 1 of odd-numbered calendar years.	SEE item number 109 (Agency Performance Measures Documentation) for supporting documentation.
114	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.	AC+1		AC = Date created.	CAUTION: See item number 109 (Agency Performance Measures Documentation) if the reports are used to document performance measures.
127a	1.3.001	State Publications - Archival Information in any format that is publicly distributed by the agency, statutorily required to be distributed by the agency, or produced by the authority of or at the expense of the agency. The term generally does not include information distributed solely to internal staff, staff of other government agencies, or contractors/grantees of the agency. Some examples of archival state publications include handbooks, guides, manuals, external newsletters, research reports/studies, and statistical compilations.	AC+2	A	AC = Until publication is superseded or discontinued.	ARCHIVES NOTE: Publications classified under this record series must be submitted to the Texas State Publications Depository Program, TSLAC, by law. SEE ALSO item number 111 (Reports - Biennial and Annual Agency (Narrative)). Government Code §§ 441.101-.106 and 13 TAC §§ 3.1-.16

Retention Codes				Archival Codes (Field 8)	
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127b	1.3.001	<p>State Publications – Non-Archival Information in any format that is publicly distributed by the agency, statutorily required to be distributed by the agency, or produced by the authority of or at the expense of the agency. The term generally does not include information distributed solely to internal staff, staff of other government agencies, or contractors/grantees of the agency.</p> <p>Some examples of non-archival publications include brochures, announcements, artwork, and internal newsletters.</p>	AC+2		AC = Until publication is superseded or discontinued.	Publications Depository rules are outlined in 13 TAC §§ 3.1-.16.
128	1.3.002	<p>Publication Development Files Background material, design objects, copy (drafts), original artwork, photo negatives, prints, flats, etc. Includes all work performed both inside and outside the agency.</p>	AV	R		<p>SEE ALSO item number 286 (Business Research Project Files).</p> <p>ARCHIVES NOTE: Background material that is published by online or other sources is not archival, per the Archives and Information Services Division, TSLAC, May 2014.</p>
231	5.1.004	<p>Directories/Mail and Telecommunications Listings Lists of mailing addresses, telephone/fax numbers, or e-mail addresses maintained by an agency on its employees or on entities or persons it serves.</p>	AC		AC = Superseded or no longer maintained.	NOTE: Records of this nature, particularly those in databases or other information systems, may be overwritten; disposal does not need to be documented through records disposition logs.

Retention Codes				Archival Codes (Field 8)	
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232	5.1.005	Postage Reports Records and reports of monthly postage expenses.	FE+3			
236	5.1.015	Correspondence Tracking Records	AC+1		AC = Date created.	CAUTION: Does not include CTS database; see item numbers 130 (Databases and Information Systems) and 80 (Executive Correspondence). SEE ALSO item number 231 (Directories).
278a	1.1.070	Policies, Procedures, and Administrative Rules – External Manuals, guidelines, administrative rules, or similar documents that set out the policies and procedures that govern an agency's programs, services, or projects. May include working files.	AC+3	R	AC = Completion or termination of program, rules, policies, or procedures.	Working files may be subject to Government Code § 552.111.
278b	1.1	Policies and Procedures – Internal Personnel policies, job procedures, or general office procedures. Examples include the employee handbook, technology use policy, accounting or purchasing manuals, division-level standard operating procedures (SOP's), style guides, or telephone protocols.	AC+3		AC = Until superseded or discontinued, whichever is sooner.	
285	1.1	Criminal History Background Checks – Non-Employment Includes criminal history checks unrelated to applicants for employment regardless of the source of the criminal history.	AC		AC = The criminal history record has served the immediate purpose for which it was obtained.	Disposal need not be documented through records disposition logs.

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287	1.1	Special Project Files Projects conducted by agency staff whose records do not fit under another record series grouping. Includes notes, reference materials, work papers, meeting minutes, correspondence related to the project, and any other supporting documentation needed throughout the duration of the project.	AC+2		AC = Project concluded.	
304	1.1	Data Entry Documents Records or forms designed and used solely for data input and control.	AC		AC = Until all data has been entered into the system and, if required, verified.	
314	5.1.007	Print Service Requisitions Work orders for printing, copying, or design services that do not involve a purchase/payment.	AV			
322	1.1	Agreements Formal agreements between the OOG and other entities to share resources for mutual benefit. May include Memoranda of Understanding (MOU), Memoranda of Agreement (MOA), licensing agreements, and location agreements.	AC+7		AC = Until superseded or termination of agreement, as applicable.	CAUTION: Does not include contracts listed under item number 229 or grant agreements (SEE Section 4.6.1). Also does not include ceremonial MOUs signed by the Governor (SEE item number 83, Executive Orders).
324	1.1	Social Media Communications Content (messages, posts, photographs, videos, etc.) created or received using a social media application.	AC+2		AC = Date created or received.	CAUTION: Contact the RMO if an account is to be deactivated or deleted. Social media content must remain accessible until retention is met. 13 TAC § 6.94(a)(2)

Retention Codes					Archival Codes (<i>Field 8</i>)	
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332	5.1.013	Insurance Policies Liability, property, or volunteer insurance policies. May include supporting documentation such as written approval by the State Office of Risk Management (SORM).	AC+7		AC = Expiration or termination of the policy according to its terms.	Government Code § 441.1855
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Section 1.2 Boards, Commissions, Committees, and Councils

103	1.1.058	Meeting Agendas and Minutes – State Boards, Commissions, and Councils Official agendas and minutes of state boards, committees, commissions, and councils that conduct open meetings as required by Government Code, Chapter 551. Includes records of the Economic Incentive Oversight Board, Governor’s Committee on People with Disabilities (GCPD), Product Development and Small Business Incubator Board (PDSBI), Texas Military Preparedness Commission (TMPC), and Texas Workforce Investment Council (TWIC).	PM	A		ARCHIVES NOTE: Agency retains permanent record copy. The archival requirement will be met by sending a copy to the Archives and Information Services Division, TSLAC. SEE ALSO item 299 (Advisory Committee Records) and 325 (Nonprofit Board Records).
104	1.1.059	Audiovisual Recordings or Certified Agendas - Closed Meetings Certified agendas or audiovisual recordings of closed meetings (executive sessions) of boards, commissions, committees, councils, or task forces.	AC+2		AC = Date of the meeting or completion of pending action involving the meeting, whichever is later.	Government Code § 551.104(a) for state boards, commissions, and other entities considered governmental bodies under the Texas Open Meetings Act.

Retention Codes					Archival Codes (Field 8)	
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105	1.1.060	Audiovisual Recordings – Open Meetings Audiovisual recordings of open meetings of boards, commissions, committees, councils, or task forces. May also include recordings of advisory committee meetings.	AC+ 90 days		AC = Official approval of written minutes of the meeting.	CAUTION: Minutes of state agencies are permanent records. Audio and videotapes are not permanent media. The proceedings of all meetings of state boards, committees, commissions, and councils should be reduced to writing. Government Code § 551.104(a) for state boards, commissions, and other entities considered governmental bodies under the Texas Open Meetings Act.
106	1.1.061	Meeting Notes – State Boards, Commissions, and Councils Notes or transcriptions taken during meetings of boards, commissions, committees, councils, or task forces from which written minutes are prepared. May include notes taken at advisory committee meetings.	AC+ 90 days		AC = Official approval of written minutes of the meeting.	SEE item number 108 for staff meeting minutes or notes.
107	1.1.062	Meeting Supporting Documentation – State Boards, Commissions, and Councils Documents submitted at meetings of boards, commissions, committees, councils, and task forces including exhibit items, documentation for agenda items, etc. Includes documents such as board packets that are sent in advance of meetings for briefing purposes, some of which may not be submitted at an actual meeting.	AC+2	A	AC = Date of the meeting.	SEE item number 321 for Witness Registration Forms or sign-in sheets.

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299	1.1	<p>Advisory Committee Records Meeting agendas, minutes, and board packets/supporting documentation of committees and boards that are strictly advisory and do not control or supervise public business or policy.</p> <p>Includes, but is not limited to, records of the Aerospace and Aviation Advisory Committee, Crime Stoppers Council, Governor’s Commission for Women, Governor’s University Research Initiative (GURI) Advisory Board, Office of Small Business Assistance Advisory Task Force, Specialty Courts Advisory Council, Star of Texas Awards Advisory Committees, Texas Emerging Technology Advisory Committee, and Texas Military Value Task Force.</p>	AC+5	A	AC = Disbanding of committee.	<p>SEE item number 103 for agendas/minutes of committees required to conduct meetings in accordance with Government Code, Chapter 551; item number 105 for audiovisual recordings; and item number 325 for records of nonprofit boards.</p> <p>NOTE: In the event of the abolishment of the Texas Military Value Task Force, task force records should be transferred to the Texas Military Preparedness Commission in accordance with § 436.1051, Government Code.</p>
321	1.1	<p>Witness Registration Forms Witness registration forms, public comment forms, sign-in sheets, or similar documents filled out by members of the public or other state agencies requesting to speak at an open meeting or budget hearing.</p>	AC+2		AC = Date of meeting/hearing.	<p>NOTE: If all information from the public comment form is documented in written minutes of the meeting, the public comment form need only be retained for the retention period listed in item number 106 (Meeting Notes).</p>

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325	1.1	<p>Nonprofit Board Records Bylaws, articles of incorporation, tax-exempt status recognition documents, board meeting agendas and minutes, annual financial statements, and similar records documenting the history, structure, and governance of nonprofit boards affiliated with the Office of the Governor. Includes records of the Beacon State Fund, Film Texas Fund, State Agency Council, Texas Disaster Relief Fund, Texas Governor’s Mansion Administration (TGMA), Inc., and Texas Small Business Industrial Development Corporation (TSBIDC).</p>	AC+5	A	AC = Termination of corporation.	<p>CAUTION: Does not include the records of state boards, commissions, committees, councils, task forces, or advisory committees. SEE items 103, 104, 105, 106, 107, 299, and 321.</p>
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Retention Codes					Archival Codes (Field 8)	
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Section 1.3 Executive Management

6	1.1	Appointment Application Files Applications for gubernatorial appointments to state agency governing boards, councils, task forces, and commissions. Includes records such as application forms, resumes, questionnaires, letters of recommendation, and disclosure forms. Includes files of both appointed and non-appointed individuals, but see Archives Note.	AC	A	AC = End of appointment or end of term of office.	ARCHIVES NOTE: Files for non-appointed individuals are not archival.
10	1.1	Invitations – Governor and First Lady This series documents requests from individuals or organizations for the Governor or First Lady to attend an event or meeting. May include, but is not limited to: invitations (with their enclosures or attachments, as applicable), correspondence, and a copy of the Governor's daily schedule. Includes both accepted and declined invitations, but see Archives Note.	AC	A	AC = End of term of office of invitee.	NOTE: Invitations received by office staff may be classified under item number 81 (General Correspondence) or 102 (Transitory Information). ARCHIVES NOTE: Declined invitations are not archival.
83	1.1.011	Executive Orders Executive orders issued by the Governor. May also include ceremonial Memoranda of Understanding (MOU) signed by the Governor.	AC	A	AC = End of term of office.	SEE ALSO item number 333 (Proclamation Files).
93	1.1.027	Proposed Legislation May include copies of proposed legislation and related correspondence or analyses.	AC	A	AC = End of term of office.	

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95	1.1.040	Speeches Text of speeches, papers, or reports delivered in conjunction with agency work.	AC	A	AC = End of term of office.	
295	1.1	Gift Registry Log Log listing all gifts sent directly to the Office of the Governor or not associated with the GGRD (Gift, Grant, Reimbursement, or Donation) form approval process. Gifts are managed in accordance with Government Code § 401.101-102.	AC	A	AC = End of term of office.	CAUTION: Does not include GGRD forms or any logs related to the GGRD process. SEE item number 180a.
297	1.1	OSFR Weekly Snapshots Weekly reports, prepared by staff of the Office of State-Federal Relations (OSFR), providing legislative updates and information on division activities.	AC+1		AC = End of term of office.	
302	1.1	Mansion Event Files Request/planning forms and related records documenting state agency functions held at the Governor's Mansion.	AC+5	A	AC = End of event.	CAUTION: Copies of financial records retained for convenience in the Mansion's event file (e.g., invoices, receipts, etc.) must be discarded prior to transfer to the State Archives. Financial Services is the custodian of financial records and will retain such records according to the applicable records series.
333	1.1	Proclamation Files Files relating to the issuance of proclamations, which include a copy of the proclamation and any correspondence relating to the proclamation.	AC	A	AC = End of term of office.	

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334	1.1	Governor's Biennial Budget Biennial appropriations budget prepared in accordance with Government Code § 401.0445 and 401.046.	AC+6	A	AC = September 1 of odd-numbered calendar years.	Government Code §§ 401.0445, 401.046
335	1.1	Transition Records Records documenting the transition from an incumbent Governor to the Governor-elect. Includes briefing materials summarizing the history, structure, operations, and information systems of each division.	AC	A	AC = End of term of office of the Governor-elect.	

Section 1.4 Legal

1	1.1	Extradition Files Records pertaining to the extradition of prisoners to or from another state within the United States. Includes applications to Governor for issuance of requisition, Governor's Requisition forms, and signature authorization memos; may also include waivers of extradition.	CE+10			Code of Criminal Procedure, Art. 51.13 NOTE: Filed by date of receipt or file creation, as applicable.
2	1.1	International Prisoner Transfer Files Records pertaining to the transfer of prisoners to foreign countries under the provisions of Article IV, Section 11 of the Constitution of the State of Texas. Includes applications, letters granting/denying transfer, copies of judgments, and copies of constituent communications.	AC+10		AC = After transfer is granted or denied.	Code of Criminal Procedure, Art. 42.17

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3	1.1	Execution Files Files typically include Execution Memos prepared by General Counsel; copies of court documents (orders, memoranda, addenda, etc.); correspondence with the Texas Department of Criminal Justice and Office of the Attorney General; copies of constituent communications in support of or opposition to the execution; and inmate last statements.	AC	A	AC = After inmate dies or is no longer on death row and end of term of office.	
4	1.1	Executive Clemency Files Files pertaining to applications for clemency for prisoners or convicted felons out on parole seeking a pardon, asking to have a sentence commuted, or asking for an emergency medical reprieve. Includes individual offenders' files and correspondence.	AC	A	AC = After applicant is granted or denied clemency and end of term of office.	
61	1.1	Trademark Records	PM			
85	1.1.014	Legal Opinions and Advice From agency legal counsel or the Attorney General. Includes amicus briefs and requests eliciting opinions.	AV	A		CAUTION: Does not include legal opinions or advice rendered on a matter in litigation or with regard to pending litigation; SEE item number 98.

Retention Codes					Archival Codes (<i>Field 8</i>)	
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87	1.1.020 1.1.021	Public Information Requests (PIR) Includes all correspondence and documentation relating to requests for records that are furnished to the public or are exempted from disclosure in their entireties.	AC	A	AC = Request has been fulfilled and end of term of office.	NOTE: Third-party briefs, which document the agency's actions on Public Information Act requests received by other state agencies, may be classified under item number 81 (General Correspondence). Withdrawn requests may also be classified under item number 81. Responsive documents received from 3rd party agencies are not OOG records and should be discarded when no longer administratively valuable.
92	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 <i>Texas Register</i> .	AC+1		AC = Date of publication in the Texas Register.	
98	1.1.048	Litigation Files Records created by or on behalf of an agency in anticipation of or in the adjudication of a lawsuit. Includes settlement packets.	AC	R	AC = As applicable, decision of the 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 a motion of the plaintiff; or final decision of a court (or of a court on appeal, if applicable) in a lawsuit.	Settlement packets are maintained pursuant to Civil Practices and Remedies Code § 101.105.

Retention Codes					Archival Codes (Field 8)	
AC – See 'AC Definition' Column	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	A – Transfer to State Archives		
AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded	R – Review by State Archivist		





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99	1.1.053	Registration Logs Spreadsheet used to record 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.	SEE item number 263 (Visitor Control Registers) for visitor sign-in sheets.
280	1.1.072	Public Information Reports Reports made to the Office of the Attorney General on an agency's Public Information Act activities.	AC+2		AC = Date of report.	
323	1.1	Consent/Release Forms Forms granting or obtaining consent for use of photographs or video footage.	AC+7		AC = Termination of agreement.	
327	1.1	Disaster Suspension Files Requests for the Governor's granting of suspensions of certain statutes and rules after a disaster. Includes correspondence and copies of proclamations.	AC	A	AC = End of term of office.	Government Code § 418.016

Retention Codes					Archival Codes (<i>Field 8</i>)	
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PART 2: INFORMATION MANAGEMENT
Section 2.1 Information Technology

130	2.1	Databases and Information Systems Structured sets of related data organized for rapid search and retrieval.	AC		AC = The retention period of the data supported by the system has been met, or data has been transferred to and made usable in a new system environment, whichever is sooner.	CAUTION: All metadata required to understand the structure of database records must be maintained until the retention period of the data has been met. 13 TAC § 6.94-.95
131	2.1.007	Software Programs / Source Code Automated program code and builds that generate the machine-language instructions used to operate software programs. Also includes Access design objects (forms and reports), .Net code, and SQL Server Reporting Services (SSRS) reports.	AC		AC = Until superseded or software program no longer used, whichever sooner.	CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records. SEE item number 133 (Technical Documentation) for user manuals and similar records. 13 TAC § 6.94

Retention Codes					Archival Codes (Field 8)	
AC – See 'AC Definition' Column	CE – Calendar Year End	LA – Life of Asset	PM – Permanent			
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132	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: Hardware documentation 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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Retention Codes				Archival Codes (Field 8)	
AC – See 'AC Definition' Column	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	A – Transfer to State Archives	R – Review by State Archivist
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133	2.1.009	<p>Technical Documentation Records adequate to specify all technical characteristics necessary for reading or processing of electronic records and their timely, authorized disposition. Includes documentation describing how a system operates and which is necessary for using the system such as:</p> <ul style="list-style-type: none"> • user guides, system or sub-system definitions, system specifications, input and output specifications, and system flowcharts; • 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		<p>AC = Until electronic records are transferred to and made usable in new hardware or software environment.</p>	<p>CAUTION: Technical documentation needed to access or understand electronic records (e.g., user manuals or codebooks) must be retained for the period of time required to access the records.</p> <p>13 TAC § 6.94</p>
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Retention Codes					Archival Codes (Field 8)	
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136	2.2.001	System Security and Monitoring Records Records used to control and monitor the security of a system and its data, including vulnerability scans, intrusion tests, malicious code detection tests, threat and risk assessments, technical security reviews, patch management logs, intrusion detection logs, firewall logs, and related records. Also includes records or logs that monitor and report levels and patterns of individual and organizational usage of system hardware, software application, or internet resources.	AV			NOTE: The disposal of automated system security/monitoring records, which are automatically generated and overwritten, need not be documented through records disposition logs.
305	2.1	IT Project Files Project management records, design documentation, feasibility studies, justifications, user requirements, etc.	AV			NOTE: Routine status reports, notes, and correspondence should be classified under item number 102 (Transitory Information).
306	2.2	IT Security Access Forms Forms created for security purposes to control or monitor individual access to a computer/network system and its data. Internal forms include, but are not limited to, Security Control (SC) forms, Network Security Rights (NSR) forms, and Social Technology Access Forms. External forms include, but are not limited to, user agreement forms submitted to the Comptroller of Public Accounts.	AC+5		AC = After superseded, expired, or termination of employment, whichever is sooner.	
307	2.2	IT Work Orders HelpDesk tickets or work orders for computer/technical support submitted to information technology (IT) staff.	AV			

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309	2.2.016	Software Registrations, Warranties, and License Agreements	LA+3			
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Section 2.2 Records Management

116	1.2.003	Forms History File Original and all subsequent revisions to an agency form, in any medium, including any associated design or design modification documentation.	AC+1		AC = Discontinuance of use of form.	
117	1.2.004	Forms Inventory Any periodic listing of all forms used internally or externally by an agency.	US			
118	1.2.005	Records Retention Schedule (SLR 105 and SLR 105C) Agency records retention schedule. Includes proof of certification by the Texas State Library and Archives Commission (TSLAC).	AC		AC = As long as administratively valuable after superseded.	Original is retained by the State and Local Records Management Division, TSLAC. 13 TAC §§ 6.3-5
119	1.2.006	Records Transmittal Forms Forms used to track the transmittal of records to/from onsite storage areas or a transfer of physical custody.	AC+2		AC = Date of return to or permanent withdrawal from storage.	

Retention Codes				Archival Codes (Field 8)
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121	1.2.001 1.2.008 1.2.010	Records Disposition Documentation Documentation of the final disposition of state records, whether destroyed or transferred to the TSLAC State Archives, including record series title, dates of records, disposition date, and authorizations. Also includes requests to dispose of state records not listed on the agency's records retention schedule (TSLAC form RMD 102).	FE+10			13 TAC §§ 6.7-8
123	1.2.012	Records Inventories Inventories of records maintained at the agency, division, or individual level. Includes, but is not limited to, master storage log, Division Records Storage Log or similar document created for tracking the location of stored records, and maps of storage areas.	AC		AC = Until superseded or all records disposed of.	CAUTION: Does not include record survey worksheets used for retention schedule development; SEE item number 289.
124	1.2.013	Finding Aids and Indexes Lists, indexes, finding aids, registers, and similar documents, in any format, used to locate and retrieve records.	AC		AC = The related records have been disposed of.	CAUTION: These records must carry the same retention period and archival code of the records they support.
125	1.2.014	Records Management Plans File plans and similar records that establish the policies and procedures under which records and information are managed in an agency.	US+1			
281	1.2.016	Disaster Recovery Service Approval Form (RMD 113) Form submitted to the State Records Center (SRC) designating individuals authorized to access disaster recovery materials stored at the SRC.	AC		AC = Until superseded or termination of service.	

Retention Codes					Archival Codes (Field 8)	
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289	1.2	Records Retention Schedule Development Files Includes record survey forms, internal and external correspondence, research files, notes, database content, and all other materials supporting revisions to the records retention schedule. Also includes schedule amendments (SLR 122), but see caution note.	AV			CAUTION: Records Management Officer must incorporate amendments to the records retention schedule (SLR 105) upon receiving notification of TSLAC approval.
328	1.2	RMO/RMC Designation Forms Includes Records Management Coordinator (RMC) Designation forms and agency copy of the Records Management Officer (RMO) Designation form (SLR 104).	US+1			

Retention Codes					Archival Codes (<i>Field 8</i>)	
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PART 3: PERSONNEL MANAGEMENT
Section 3.1 Employee

101b	3.1	ADA (Americans with Disabilities Act) Accommodation Requests Employee/applicant requests for reasonable accommodation under the ADA.	AC+3		AC = For employees, termination of employment; for job applicants who were not selected, date of application.	Texas Labor Code § 21.128
151	3.1.018	Employee Grievances Records relating to the review of employee complaints regarding personnel policies, working conditions, etc.	AC+2		AC = Resolution of the complaint.	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 98 (Litigation Files).
156	3.1.023	Position/Job Descriptions Job descriptions, including all associated task or skill statements, for positions in an agency.	AC+4		AC = Until superseded or job eliminated.	40 TAC § 815.106(i)
159	3.1.029	Employment Eligibility Documentation (Form I-9) Documentation or verification of citizenship. Includes USCIS Form I-9 (federal reporting form). May also include copies of identification documents.	AC+1		AC = Termination of employment, but see caution note.	CAUTION: Federal regulation requires that I-9 forms be retained for 3 years from date of hire or 1 year after separation of the employee, whichever later. Agencies should make certain that the 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)

Retention Codes					Archival Codes (Field 8)
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161	3.1.034	<p>Resumes – Unsolicited Resumes or applications received by a division that are unrelated to a specific job posting. Retention period applies if the division replies to the sender indicating that the resume will be kept on file should future job openings occur.</p>	AV			SEE item number 290 (Job Files) for resumes that are used in any way in the employment selection process. Human Resources does not accept or retain unsolicited resumes.
290	3.1.001 3.1.012 3.1.014	<p>Job Files Files maintained on each job posting of the agency. Each file typically includes the job posting (employment opportunity announcement) and approval sheet. As applicable, may also include applications of those who were not selected, notes on the interview process, and related information.</p>	AC+2		AC = Date created.	29 CFR § 1602.31
291	3.1.002 3.1.006 3.1.019 3.1.020 3.1.021 3.1.022 3.1.023 3.1.027 3.1.037	<p>Employee Files Personnel records maintained on each employee. Includes but is not limited to: applications for employment (hired), job descriptions, background check authorizations, employee acknowledgement/disclosure forms, performance appraisals, corrective or disciplinary action documentation, personnel information or action forms, outside employment/volunteer authorization forms, training and educational achievement records, employee recognition records, and employee counseling records. May also include internal database information used for tracking purposes.</p>	AC+5		AC = Termination of employment.	<p>29 CFR §§ 1602.31, 1620.32(c), 516.5; 40 TAC § 815.106(i)</p> <p>VITAL RECORD. SEE item number 156 for current position/job descriptions. Superseded job descriptions may exist solely in this series. SEE ALSO item number 310 (Employee Supervision File) for additional employee records held by supervisors.</p>

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292	3.1	Intern Files Personnel records maintained on each intern. May include, but is not limited to, applications, eligibility verification forms, evaluations, timesheets, training and educational achievement records, and related information.	AC+5		AC = Termination of internship.	
293	3.1	Intern Files – Not Selected Internship applications, resumes, outside employment forms, background authorization releases, and selection records for applicants who are not selected.	AC+2		AC = End of internship term for which the applicant applied.	
310	3.1	Employee Supervision File Journals, notes, correspondence, kudos, or other documentation maintained on an individual employee by a supervisor. May also include telework requests, agreements, and associated documentation. Retention period applies only to records not transferred to Human Resources for inclusion in the Employee File.	AC+2		AC = Date employee transfers to another division or termination of employment, whichever sooner.	NOTE: Does not include performance appraisals; SEE item number 291 (Employee Files).

Section 3.2 Payroll

166	3.2.003	Federal Tax Records Includes W-2, 1095-B, 1099, FICA, and other tax records.	AC+4		AC = Tax due date, date the claim is filed, or date tax is paid, whichever is later.	26 CFR § 31.6001-1(e)(2)
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Retention Codes					Archival Codes (Field 8)	
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171	3.2.009	State Deferred Compensation Records	AC+5		AC = All accounts with a vendor or vendors for the individual participant have been closed.	
294	3.1.011 3.1.031 3.2.001 3.2.005 3.2.007 3.2.008	Benefits/Payroll Files Benefits record maintained on each employee. Includes W-4 forms, employee deduction authorizations, income adjustment authorizations, employee direct deposit applications/authorizations, employee insurance records, employee benefits records (agency copies of information relating to the selection of available benefit options other than insurance), accumulated leave adjustment requests, and unemployment claims.	AC+5		AC = Termination of employment.	26 CFR § 31.6001-1(e)(2); 29 CFR § 516.6(c)
329	4.2.007	Payroll Vouchers	FE+3			Human Resources is the custodian of payroll vouchers.

Section 3.3 Personnel Administration

101a	1.1.056	ADA (Americans with Disabilities Act) Plans Self-evaluations and plans documenting compliance with the requirements of the Americans with Disabilities Act.	AC+3		AC = Date created.	SEE item number 101b for ADA Accommodation Requests. 28 CFR § 35.105(c)
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Retention Codes					Archival Codes (Field 8)	
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173	3.3.010 3.2.010 3.3.022 3.3.026 3.3.031	Personnel Administration Reports Agency staffing reports (any reports compiled by the 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 the OOG organizational structure, position vacancies, analyses of turnover rates and seasonality of employment, etc.), Human Resources Information System (HRIS) reports (EEO reports and supporting documentation, labor statistics reports, management to staff ratio reports, new hire reports), and Texas Workforce Commission (TWC) reports. May also include supporting documentation used to create reports.	AC+4		AC = Completion or receipt of report, as applicable.	Financial Services is the custodian of TWC reports. 29 CFR § 1602.32 for EEO reports and supporting documentation.
174	3.3.001	Recruitment Plans Diversity and recruitment plans and related workforce analyses.	AC+5		AC = Date created.	Texas Labor Code § 21.501-.502
175	3.3.004	Benefit Plans Employee benefit plans such as pension; life, health, and disability insurance; deferred compensation; etc., including amendments. Series comprises copies of records held by Employees Retirement System of Texas (ERS).	US+1			29 CFR § 1627.3(b)(2)
176	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 election information.	AC+75		AC = Termination of employment.	VITAL RECORD. The required information is available through the Uniform Statewide Payroll System (USPS).

Retention Codes					Archival Codes (Field 8)	
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180	3.3.023	Requests/Authorizations for Training or Other Reimbursable Activity Requests and authorizations for 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			CAUTION: Does not include any type of travel record; SEE item number 205 (Travel Vouchers).
180a	3.3	Gift, Grant, Reimbursement, or Donation (GGRD) Forms Requests for approval to receive a gift, grant, reimbursement, or donation in accordance with Government Code § 401.101. Also includes any logs or other records (e.g., spreadsheets) used to track the receipt and approval of GGRD forms.	FE+3			CAUTION: Does not include the Gift Registry Log, which lists gifts and in-kind donations sent directly to the office and not associated with the GGRD form approval process; SEE item number 295.
184	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 administrative procedures) should be retained for the period indicated. 29 CFR § 1602.31

Retention Codes					Archival Codes (Field 8)	
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185	3.3.030	<p>Training Materials – Internal Instructional materials associated with staff training on internal policies and procedures. May include presentations or handouts, as well as course development materials such as course outlines or justifications.</p> <p>Training topics may include, but are not limited to: Human Resources (HR) policies, ethics, the Public Information Act, records management, information security, or any other internal policy or procedure that requires staff training.</p>	AC+2		AC = Until superseded or discontinued.	SEE item number 97 (Training Materials – External) for training presented to external entities that are regulated or served by the OOG.
185a	3.3	<p>Training Administration Records – Internal Includes registration, class rosters, class evaluations, schedules/agendas, sign-in sheets, and other records that document the administration of training or workshop classes developed for agency staff.</p>	FE+2			SEE item number 63 (Event Administration Records) for external training administration records.

Section 3.4 Time and Leave

190	3.4.004	<p>Overtime Authorizations</p>	AC+2		AC = Date created.	
191	3.4.006	<p>Time Sheets and Timekeeping Data Includes data held in the employee timekeeping system, paper time sheets, and temporary employee registers.</p>	AC+4		AC = Date created.	SEE item 292 (Intern Files) for intern timesheets. 40 TAC § 815.106(i)
192	3.4.007	<p>Time off and/or Sick Leave Requests and Authorizations Correspondence, forms, or other documentation of a request or authorization to take time off. Also includes extended sick leave forms and Family Medical Leave Act (FMLA) designations, including supporting documentation.</p>	FE+3			29 CFR § 825.500 for FMLA documentation.

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193	3.4.008	Sick Leave Pool Documentation Includes Sick Leave Pool Donation forms, Sick Leave Pool Request forms, number of hours transferred in and out, and related records.	FE+3			
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Retention Codes					Archival Codes (Field 8)	
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PART 4: FISCAL MANAGEMENT

Section 4.1 Detail Information on Financial Event or Transaction

194	4.1.001	TINS Vendor/Grantee Forms Forms used to establish vendors and grantees in the Texas Identification Number System (TINS) and internal financial systems. Includes Direct Deposit Authorizations (Comptroller Form 74-176), Texas Identification Number (TIN) applications (Comptroller Form AP-152), Payee Change Request forms (Comptroller Form 74-157), and Request for Taxpayer Identification Number and Certification (IRS Form W-9).	FE+3		NOTE: The retention period starts from the end of the fiscal year in which the account is set up.	SEE item number 294 (Benefits/Payroll Files) for employee direct deposit authorizations. 26 CFR § 31.3406(h)-3(g)
195	4.1.002	Accounts Receivable Documentation Records that serve to document money owed to or received by the agency. Includes Q documents (revenue payments), RR documents, and billings (interagency, nonprofit, or other). May include supporting documentation such as correspondence.	FE+3			
196	4.1.003	Check Stubs and Cancelled Checks/Warrants/Drafts	FE+3			SEE item number 330 (Special Vouchers) for C documents.

Section 4.2 Documents of Original Entry

200	4.2.001	Deposits Deposit vouchers (D documents), deposit slips, copies of checks, bank teller receipts, and supporting documentation. May include copies of RR documents.	FE+3			
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Retention Codes					Archival Codes (Field 8)	
AC – See 'AC Definition' Column	CE – Calendar Year End	LA – Life of Asset	PM – Permanent		A – Transfer to State Archives	
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202	4.2.004	Encumbrance Vouchers Encumbrance/liquidation batches and supporting documentation.	FE+3			
203	4.2.005	Purchase/Payment Vouchers Purchase requisitions, invoices or statements, purchase vouchers, interagency transfer vouchers, packing slips, all grant disbursements except for Texas Enterprise Fund (SEE item number 60a), and related records. Includes document types 2, 9, and T.	FE+7			SEE item number 229 (Contract Administration Files) for purchase orders.
205	4.2.007	Travel Vouchers Includes travel requisitions, travel vouchers, and often supporting documentation such as flight itineraries, hotel receipts, and cost calculations. Also includes travel documents for which no reimbursement was received, such as No Expenses to Claim memos or Travel Cancelled memos.	FE+3			
330	4.1.007 4.2.006	Special Vouchers Includes budget transfers/revisions (A documents and B documents), payment cancellation vouchers (C documents), and general journal vouchers (J documents and K documents).	FE+3			

Section 4.3 Accounting Systems

206	4.3.002	Receipts Journals or Registers	FE+3			
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Retention Codes	Archival Codes (Field 8)
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207	4.3.003	Expenditure Journals or Registers Warrant registers/USAS payable reports.	FE+3			
217	4.6.002	Reconciliations Revenue, expenditure, cash, etc.	FE+3			

Section 4.4 Purchasing

229	5.1.001	Contract Administration Files Contracts, leases, and agreements including interagency contracts, interlocal agreements, general obligation, land lease, utilities, and construction except for buildings. Files typically include contracts, all contract amendments, purchase orders, change orders, inspection or status reports, and correspondence. May include other applicable documentation as specified in the Contract Management Guide of the Comptroller of Public Accounts.	AC+7		AC = Expiration or termination of the instrument according to its terms.	VITAL RECORD. SEE ALSO item numbers 256a, b, and c (Bid Documentation). NOTE: Retention period applies to contracts entered into on or after September 1, 2015. A contract and related documentation entered into prior to September 1, 2015 may be destroyed 4 years after the expiration or termination of the instrument according to its terms. Government Code § 441.1855
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Retention Codes					Archival Codes (Field 8)	
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256a	5.3.007a	<p>Bid Documentation – FY16 or later Includes successful and unsuccessful bids, bid requisitions or authorizations, requests for proposal (RFP), invitations to bid or propose, bid specifications, and bid tabulation/evaluation documentation.</p> <p>Applies to bids associated with a contract executed, renewed, or amended on or after September 1, 2015.</p>	AC+7		AC = Expiration or termination of the related contract according to its terms, or the decision not to proceed with the bid, as applicable.	SEE item number 256c for bids that are withdrawn or not included in the bid evaluation process.
256b	5.3.007b	<p>Bid Documentation - FY15 or earlier Includes successful and unsuccessful bids, bid requisitions or authorizations, requests for proposal (RFP), invitations to bid or propose, bid specifications, and bid tabulation/evaluation documentation.</p> <p>Applies to bids associated with a contract executed, renewed, or amended on or before August 31, 2015.</p>	FE+3			SEE item number 256c for bids that are withdrawn or not included in the bid evaluation process.
256c	5.3.007c	<p>Bid Documentation – Not Evaluated Unsuccessful bids that are withdrawn or not included in the bid evaluation process (missed deadline, incomplete submission, etc.)</p>	AC+2		AC = Date the related contract is awarded, or date of decision not to proceed with the bid, as applicable.	
257	5.3.008	<p>Purchasing Logs Log, register, etc., providing a record of purchase orders issued, orders received, and similar data on procurement status.</p>	FE+3			

Retention Codes					Archival Codes (Field 8)	
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258	5.3.009	Requests for Information (RFI) Requests for information or quotes 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 a request for proposal (RFP) or bid, the RFI documentation must be retained in accordance with item number 256a, 256b, or 256c, as applicable.
331	5.1.017	Contracts Log List of agency contracts, leases, and agreements including general obligation, land lease, utilities, and construction contracts.	FE+3			

Section 4.5 Fiscal Reporting

78	1.1.004	Legislative Appropriation Request (LAR) Including any supporting documentation created and/or used to justify and support legislative appropriation requests by an agency.	AC+6	A	AC = Passage of Appropriations Act.	ARCHIVES NOTE: Copies are sent to the Texas State Publications Depository Program at the time of submission to the Legislative Budget Board (LBB). Only copies of supporting documentation submitted to the LBB are archival.
212	4.5.001	Worksheets for Preparing Fiscal Reports Accounting or budget working papers used to prepare financial statements, PFIA reports, Bond Review Board reports, fiscal notes, or other fiscal reports.	FE+3			

Retention Codes					Archival Codes (Field 8)	
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213	4.5.002	Internal Fiscal Management Reports Includes internal operating budget. Also includes budget reports and analyses, cash balance reports, and supporting documentation for budget requests made by divisions/programs.	FE+3			CAUTION: Does not include the Agency Operating Budget required by the General Appropriations Act; SEE item number 216.
214	4.5.003	Annual Financial Reports (AFR) Detailed statement of all assets, liabilities, and fund balances. Required by the General Appropriations Act (100 Day Report). Includes backup documentation such as balance sheets and ledgers, but see Archives Note.	AC+6	A	AC= September 1 of odd-numbered calendar years.	SEE item number 112 (Reports and Studies – Non-Fiscal) for the Annual Report of Nonfinancial Data. SEE item number 325 (Nonprofit Board Records) for annual financial reports of nonprofits. ARCHIVES NOTE: The archival requirement is met by sending the required copies of the reports to the Texas State Publications Depository Program, TSLAC. Backup documentation is not archival. Prepared in accordance with Government Code § 2101.011.
215	4.5.005	External Fiscal Reports – Special Reports Special purpose reports (e.g., federal financial reports, salary reports, HUB reports, etc.)	FE+3			

Retention Codes					Archival Codes (Field 8)	
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216	4.5.006	Operating Budgets Required by the General Appropriations Act.	FE+3	A		For internal operating budgets, including budget working papers created at the division/program level, SEE item number 213 (Internal Fiscal Management Reports). ARCHIVES NOTE: Archival requirement is met by sending copies to the Texas State Publications Depository Program, TSLAC.
311	4.5.007	USAS Reports – Daily Daily USAS reports generated or received by the agency. Includes, but is not limited to, DAFR (Detailed Activity Financial Report) 2021, 3331, 3601, and 8200.	AC		AC = Receipt and reconciliation of monthly report.	NOTE: See item number 207 (Expenditure Journals or Registers) for DAFR 3691, Direct Deposit Payees by Agency.
312	4.5.008	USAS Reports – Monthly Monthly USAS reports generated by the agency. Includes, but is not limited to, DAFR 5651, 5801, 5851, 7400, 7470, 7500, and 8660.	FE+3			

Section 4.6 Other Fiscal Records Subsection 4.6.1 Grants

60a	4.7.008	Texas Enterprise Fund (TEF) Projects – Awarded/ Funded Applications, grant authorization records, review and monitoring documentation, disbursement documentation, and other information related to Texas Enterprise Fund awards made by the agency.	AC+5		AC = Expiration or termination of the agreement according to its terms.	
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Retention Codes					Archival Codes (Field 8)	
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62a	4.7.008	<p>Emerging Technology Program Records – Funded Records relating to the creation of programs and funding for emerging technology industries. Includes application, review and compliance documents, and RCIC (Regional Center for Innovation & Commercialization) contracts.</p>	AC+5		<p>AC = Expiration or termination of the contract according to its terms.</p>	<p>CAUTION: Does not include disbursement documentation; SEE item number 203 (Purchase/Payment Vouchers).</p> <p>Program abolished as of September 1, 2015. Senate Bill 632, 84(R).</p>
218a	4.7.008	<p>Federal Grant Records – Awarded/Funded Applications, grant authorization records, grant/project financial or performance reports, review and monitoring documentation, and other information related to federally-funded grants or awards made or received by the agency.</p> <p>Includes criminal justice, homeland security, and Wagner-Peyser grants.</p>	AC+3		<p>AC = Submission of final audit/expenditure report. The retention period applies to the entire fund block and is not dependent on subawards.</p>	<p>CAUTION: Retention requirements may vary depending on the specific federal funding agency's requirements.</p> <p>CAUTION: Does not include disbursement documentation; SEE item number 203.</p> <p>2 CFR § 200.333, 28 CFR § 66.42</p>

Retention Codes					Archival Codes (<i>Field 8</i>)	
AC – See 'AC Definition' Column	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	A – Transfer to State Archives		
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218b	4.7.008	<p>State Grant Records – Awarded/Funded Applications, grant authorization records, grant/project financial or performance reports, review and monitoring documentation, and other information related to state-funded grants or awards made or received by the agency.</p> <p>Includes state-funded criminal justice grants, homeland security grants, Texas Moving Image Industry Incentive Program (TMIIP), Defense Economic Adjustment Assistance Grant (DEAAG), Governor's University Research Initiative (GURI), Spaceport Trust Fund, Small Business Service Provider Grants, Texas Music Office grants, and any other state grant except where noted below.</p> <p>CAUTION: Does not include Texas Enterprise Fund (SEE item number 60a), Texas Disaster Fund (SEE item number 218c), or Emerging Technology Fund (see item number 62a).</p>	AC+3		AC = Expiration or termination of the agreement according to its terms. For criminal justice and homeland security grants, the retention period applies to the entire fund block and is not dependent on subawards.	<p>CAUTION: Does not include disbursement documentation; SEE item number 203.</p>
218c	4.7.008	<p>Texas Disaster Fund Grant Records – Awarded/Funded Request letters, grant authorization records, review and monitoring documentation, and other information related to Texas Disaster Fund awards made by the agency.</p>	AC+3		AC = Final disbursement of funds encumbered for the disaster.	<p>CAUTION: Does not include disbursement documentation; SEE item number 203.</p>
218d	4.7	<p>Grant Records – Unfunded Unfunded applications for grant, award, or incentive programs (federal, state, or other). Includes evaluation documentation such as scoresheets.</p>	AC+2		AC = Date of notification of denial, disqualification, or withdrawal, as applicable.	

Retention Codes				Archival Codes (Field 8)	
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298	4.7	Statewide Cost Allocation Plans (SWCAP) Plan prepared by the Office of the Governor and distributed to each state agency as required by Government Code § 2106.002. Series includes plans submitted to and approved by the federal government, as well as supporting documentation.	FE+3			NOTE: The retention period starts from the end of the fiscal year covered by the plan. 2 CFR § 200.333(f) and Government Code § 2106.002
313	4.7	Indirect Cost Plans Indirect Cost Plan and supporting documentation created or maintained in the development of the plan.	FE+3			NOTE: The retention period starts from the end of the fiscal year covered by the plan. 2 CFR § 200.333(f) and Government Code § 2106.333

Subsection 4.6.2 Other

220	4.7.002	Bank Statements	FE+3			
222	4.7.004	Capital Asset Records Records detailing the acquisition, depreciation, and disposition of capital assets.	LA+3			

Retention Codes AC – See 'AC Definition' Column AV – Administrative Value	CE – Calendar Year End FE – Fiscal Year End	LA – Life of Asset MO – Months	PM – Permanent US – Until Superseded	Archival Codes (Field 8) A – Transfer to State Archives R – Review by State Archivist
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225	4.7.010	<p>Bond Records Bond transcripts and amendments that are not otherwise specifically covered by another record series. Also includes commercial paper trade documentation.</p>	AC+4		AC = Retirement of debt.	<p>CAUTION: Does not include purchase agreements, letters of credit, and trust indentures; SEE item number 229 (Contract Administration Files). Does not include loans made by the agency using bond proceeds; SEE item number 319. Does not include Industrial Revenue Bonds; SEE item number 34a.</p> <p>Texas Constitution art. III, §§ 49-n, 52-a; art. XVI, § 71. 26 CFR § 1.148-5(d)(6)(iii)(E)</p>
228	4.7.012	<p>Signature Authorizations Signature cards or similar records establishing authority of an agency employee to initiate or authorize financial transactions on behalf of an agency.</p>	AC+4		AC = Until superseded or discontinued.	

Retention Codes					Archival Codes (Field 8)	
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PART 5: ASSET AND RISK MANAGEMENT Section 5.1 Facilities and Equipment

230	5.1.003	Delivery Reports Includes bills of lading for items received from state surplus warehouse.	AC+2		AC = Date received.	CAUTION: Bills of lading for items transferred to the warehouse should be classified under item number 246 (Inventory Transfer Forms).
237a	5.2.002	Building Construction Project Files Planning, design, and construction records; accepted and rejected bids; correspondence; etc. Includes deferred maintenance projects and any other major construction projects, including Governor's Mansion renovation and restoration projects.	AC+10	R	AC = Completion of project.	For minor installations and repairs, SEE item number 244 (Quotes).
237b	5.2.003	Building Plans and Specifications Includes architectural and engineering drawings, profiles, and blueprints.	LA	R		SEE ALSO item number 237a (Building Construction Project Files).
239	5.2.007	Lost, Stolen, or Damaged Property Reports Reports of theft, loss, or damage to state property.	FE+3			SEE ALSO item number 246 (Inventory Transfer Forms). Government Code § 403.275
240	5.2.008	Equipment History File Includes equipment checkout forms. May also include maintenance history for household equipment.	LA+3			CAUTION: Does not include equipment service agreements; SEE item number 229 (Contract Administration Files).
242	5.2.010	Equipment Manuals	LA			NOTE: Manuals must be retained by the division that owns the equipment.

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243	5.2.011	Equipment Warranties 	AC+1		AC = Expiration of warranty.	NOTE: Warranties must be retained by the division that owns the equipment.
244	5.2.012	Quotes for Minor Construction/Repairs (Supply and Repair Cost Estimates) Quotes for electrical work, minor construction projects, etc. Includes supporting documentation, as applicable.	AC+1		AC = Date received.	
245	5.2.014	Annual Inventory Records Property, equipment, supply verification. Includes listing of all additions, changes, deletions, and transfers, including any detailed reports needed to make updates.	FE+3			CAUTION: Capital asset records must be retained in accordance with item number 222.
246	5.2.015	Inventory Transfer Forms Notices of equipment removed from inventory. Includes bills of lading received from the Texas Facilities Commission (TFC) for items transferred to surplus warehouse.	FE+3			NOTE: Bills of lading for items received by the agency should be classified under item number 230 (Delivery Reports).
250	5.2.019	Service Orders Agency copy of forms completed by mechanical service personnel (of TFC, DPS, DIR, etc.) for installation or repair. Also includes HelpDesk tickets or work orders submitted by OOG staff.	AC+1		AC = Date received.	CAUTION: Keep at least one year per <i>Texas State Records Retention Schedule</i> item number 5.2.019.

Section 5.2 Vehicles

271	5.6.003	Vehicle Inspection and Maintenance Records	LA+1			
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272	5.6.004	License and Driving Record Checks	AC		AC = Until superseded or termination of employment.	
275	5.6.007	Vehicle Titles and Registrations	LA			Official record maintained by Financial Services.
276	5.6.009	Parking Permits or Assignments Spreadsheets or similar logs used to assign parking spaces to employees.	US			

Section 5.3 Risk Management

259	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 (TDI) or its predecessors or maintained internally on accident frequency.	CE+5			TDI retains copies of the reports submitted to it for 50 years. 29 CFR § 1904.33
260	5.4.002	Evacuation Plans Agency copy of plans for evacuation of agency facilities in cases of emergency.	US			Texas Facilities Commission (TFC) maintains the official copies of emergency exit and other evacuation plans.
261	5.4.003	Inspection Records Agency copy of fire, safety, and other inspection records of agency facilities and equipment.	AC+3		AC = Date of inspection, or date of correction of any deficiency, whichever is later.	TFC maintains the official copies of inspection records.

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262	5.4.004	Fire Orders Agency copy of orders issued by Fire Marshal to correct deficiencies in compliance with the fire code.	AC+3		AC = Deficiency corrected.	TFC maintains the official copies of fire orders.
263	5.4.011	Visitor Control Registers Logs, sign-in sheets, or similar records documenting visitors to limited access or restricted areas of agency facilities.	AC+3		AC = Date created.	SEE item number 99 (Registration Logs) for a record of visitors required to register under Chapter 2004, Government Code.
264	5.4.012	Security Access Records Records relating to the issuance of keys, identification cards, building passes, or similar instruments of access to agency facilities or equipment.	AC+2		AC = Until superseded, date of expiration, or date of termination, whichever sooner.	Texas Department of Public Safety (DPS) maintains security access records for the Capitol and Governor's Mansion. SEE ALSO item number 306 (IT Security Access Forms).
265	5.4.013	Continuity of Operations (COOP) Plans Disaster preparedness and recovery plan.	US			Labor Code § 412.054, 1 TAC 202

Section 5.4 Audit

77	1.1.002	Audits Audits and reviews performed by an agency on external entities, on the agency by other entities, or on the agency by internal auditors. Includes audit reports and supporting documentation, including documentation evidencing agency cooperation with external audits.	AC+7		AC = Publication or release of final audit findings.	The record copy of any audit performed by the State Auditor's Office is retained permanently by that agency.
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Retention Codes				Archival Codes (Field 8)
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303	1.1.024	Annual Audit Plan Includes working papers and agency risk assessment used to develop the plan.	AC+3		AC = Decision made to implement or not to implement.	CAUTION: SEE item number 77 (Audits) for final audit reports. CAUTION: Risk assessments prepared by the Office of Compliance and Monitoring should be classified under their respective program areas (i.e., use item 218a for federal grants, 218b for state grants, etc.) Texas Internal Auditing Act requirement (Government Code § 2102.013).
326	1.1	Audit Peer Review – Working Papers Documents collected or generated as part of the process of reviewing other state agency internal audit programs. May include but is not limited to self-assessments, worksheets, surveys or questionnaires, evaluations, and other documents as described in the State Agency Internal Audit Forum (SAIAF) Peer Review Manual.	AC+1		AC = After final report has been issued.	CAUTION: It is an exception to this retention period that Peer Review Reports evaluating this agency's program should be retained in accordance with item number 77 (Audits). Texas Internal Auditing Act requirement (Government Code § 2102.007(5)).

Retention Codes					Archival Codes (Field 8)	
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PART 6: PROGRAM MANAGEMENT
Section 6.1 Public Safety

5a	1.1	Crime Stoppers Council – Proof of Certification Includes letters, memoranda, or certificates proving certification of local Crime Stoppers programs by the Texas Crime Stoppers Council.	PM	A		SEE item number 103 for meeting agendas and minutes of the Texas Crime Stoppers Council. 1 TAC § 3.9000
5b	1.1	Crime Stoppers Council – Certification Supporting Documentation Includes financial statements, annual Proof of Probation Fee and Repayment Reports (PFRR), training certificates, and contact information. Also includes copies of founding documents, tax-exempt forms, and other materials whose record copies are maintained by other state or federal agencies.	AC+1		AC = Expiration of certification.	1 TAC Chapter 3, Subchapter H
5c	4.7.005	Crime Stoppers Council – Claim Files Includes claims submitted by local Crime Stoppers programs for reimbursements of reward monies and other expenses, and documentation supporting such claims.	AC+3		AC = Resolution of claim.	
5d	1.1.043	Crime Stoppers Council – Training Materials Course schedules, lesson plans, learning objectives, instructor biographies, class rosters and sign-in sheets, course evaluations, and other records of tests as specified by the Texas Commission on Law Enforcement.	AC+5		AC = Conclusion of course.	37 TAC, Part 7, § 215.9(b)(3)

Retention Codes					Archival Codes (Field 8)	
AC – See 'AC Definition' Column	CE – Calendar Year End	LA – Life of Asset	PM – Permanent		A – Transfer to State Archives	
AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded		R – Review by State Archivist	





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5e	1.1	Crime Stoppers Council – Review & Monitoring Records Reports, monitoring, risk assessment documentation, and other records related to reviews conducted on the annual Probation Fee and Repayment Reports (PFRR).	AC+3		AC = Date of submission of review & monitoring report to Crime Stoppers program.	
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Section 6.2 Economic Development

73	1.1	Marketing Project Files Marketing collateral (flyers, postcards, logos, etc.), images, poster/invitation designs, presentations, and other marketing materials.	FE+5			CAUTION: State publications (fact sheets, handbooks, guides, etc.) should be classified under item number 127a or 127b, as applicable. Does not include Tourism marketing files; SEE item number 288.
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Subsection 6.2.1 Finance

22a	1.1	Defense Economic Readjustment Zone (DERZ) – Accepted Zone/project applications and supporting documentation, internal memoranda, and notification letters.	AC+5		AC = Expiration of designation.	Program administered in accordance with Government Code Chapter 2310.
22b	1.1	Defense Economic Readjustment Zone (DERZ) – Denied/Withdrawn Denied or withdrawn applications for zone/project designation.	AC+2		AC = Date of notification of denial or date of withdrawal, as applicable.	Program administered in accordance with Government Code Chapter 2310.

Retention Codes					Archival Codes (Field 8)	
AC – See 'AC Definition' Column	CE – Calendar Year End	LA – Life of Asset	PM – Permanent		A – Transfer to State Archives	
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Agency Item No.	TSLAC Item No.	Record Series Title/Description	Retention Period	Arch	AC Definition	Remarks/Legal Citations

27a	1.1	Enterprise Zone Projects – Accepted Project applications, approval letters, and applications to amend existing projects.	AC+5		AC = Expiration of designation.	Program administered in accordance with Government Code Chapter 2303 and 1 TAC Title 10, Part 5, Chapter 176. SEE item number 7 (Received Reports) for mandatory annual reports received from communities. Such reports should be retained for 5 years.
27b	1.1	Enterprise Zone Projects – Denied/Withdrawn Project applications with denial letters or written requests to remove a project from consideration.	AC+2		AC = Date of notification of denial or date of withdrawal, as applicable.	
34a	1.1	Industrial Revenue Bond (IRB) Applications/Transcripts - Accepted The IRB Program provides tax-exempt financing for eligible industrial or manufacturing projects as defined in Local Government Code, Chapter 501. Series includes bond transcripts and application materials.	AC+50		AC = After bond closing.	Documentation for applications dated 1979-1993 are stored as microfilm/microfiche in the following categories: IRB applications, IRB dockets, allocations, and certificates of delivery. Bond transcripts (final documentation) are stored as hardbound books (1993-current) along with application materials. All documentation is arranged by docket number.
34b	1.1	Industrial Revenue Bond (IRB) Applications – Denied/Withdrawn	AC+2		AC = Date of notification of denial or date of withdrawal, as applicable.	
40	1.1	Commerce Revenue Bond Transcripts	AC+50	R	AC = Date of bond closing.	Bound documents.

Retention Codes					Archival Codes (Field 8)	
AC – See 'AC Definition' Column	CE – Calendar Year End	LA – Life of Asset	PM – Permanent		A – Transfer to State Archives	
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58a	1.1	Capital Access Program Project File – Enrolled Lender enrollment folders include participation agreement documents (Exhibits 1-3), proof of deposit, copy of waiver (if applicable), checklist, required reports, and supporting documentation. May also include claim forms and recovery forms.	AC+7		AC = Payoff or termination of loan agreement, or resolution of claim, as applicable.	CAUTION: Does not include the participation agreement between the agency and a financial institution. SEE item number 229 (Contract Administration Files). Program administered in accordance with Government Code §§ 481.401-.415 and 10 TAC §§ 187.1-.18.
58b	1.1	Capital Access Program Project File – Not Enrolled	AC+2		AC = Date of notification of denial or date of withdrawal, as applicable.	
296	1.1	Events Trust Fund Programs – Administrative Files Files used to administer state entities' participation in three event cost sharing trust accounts: Major Events Reimbursement Program (Tex. Rev. Civ. Stat. Art 5190.14, §5A), Motor Sports Racing Trust Fund (Tex. Rev. Civ. Stat. Art 5190.14, §5B), and Events Trust Fund (Tex. Rev. Civ. Stat. Art 5190.14, §5C). Documentation includes application documents and disbursement documents (requests, receipts, contracts) from applying entities (cities, counties, municipalities, organizations, other) related to an event eligible for the program. Documentation also includes funds management documentation including worksheets and event history that are associated with state and local participation.	AC+7		AC = End of the fiscal year in which the event took place.	

Retention Codes					Archival Codes (Field 8)	
AC – See 'AC Definition' Column	CE – Calendar Year End	LA – Life of Asset	PM – Permanent		A – Transfer to State Archives	
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Agency Code	301	Agency Name	Office of the Governor			
Agency Item No.	TSLAC Item No.	Record Series Title/Description	Retention Period	Arch	AC Definition	Remarks/Legal Citations

319	1.1	<p>Loans – Awarded/Funded Loan agreements, promissory notes, quarterly reports, and related correspondence.</p> <p>Applies to Product Development/Small Business Incubator (PDSBI), Texas Leverage Fund (TLF), Texas Military Value Revolving Loan Fund (TMVRLF), Texas Small Business Industrial Development Corporation (TSBIDC), and any other loans awarded by the agency.</p>	AC+7		AC = Payoff or termination of loan agreement, as applicable.	NOTE: Retention period applies to agreements entered into on or after September 1, 2015. An agreement and related documentation entered into prior to September 1, 2015 may be destroyed 4 years after the expiration of termination of the instrument according to its terms. Government Code § 441.1855
320	1.1	<p>Loans – Unfunded Applications for loans that were ultimately unfunded. May also include application deficiency letter and related correspondence.</p>	AC+2		AC = Date of notification of denial or date of withdrawal, as applicable.	Withdrawn or denied PDSBI applications shall be returned to the applicant, if requested, pursuant to Government Code § 489.215(c).

Subsection 6.2.2 Business Development

29	1.1	<p>Business Expansion and Recruitment Project Files Project files include copies of intake forms; communications with consultants, companies, and local communities; research files; tuition incentive letters; and related materials.</p>	AC+10	A	AC = Date of location decision or date of project retirement, as applicable.	
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Retention Codes					Archival Codes (<i>Field 8</i>)	
AC – See 'AC Definition' Column	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	A – Transfer to State Archives		
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32	1.1	Business Promotion Project Files Meeting agendas, selection rubrics, itineraries, speeches, and other administrative records documenting efforts to promote/support business development through missions, tours, trade shows, and other special events. Includes both domestic and international projects.	AC+8	R	AC = Date of completion.	Financial Services is the custodian of travel requisitions; SEE item number 180. SEE item number 73 for marketing materials.
286	1.1	Business Research Project Files Includes briefs and other responses to research requests such as information/company/individual checks; research files done to support marketing and program area efforts; and research files related to division publications that are gathered from online or other published sources.	AC+2		AC = Research project completion date.	CAUTION: Published reports, handbooks, guides, maps, and manuals resulting from research efforts should be classified under item number 127a (State Publications - Archival).

Subsection 6.2.3 Film

8	1.1	Film Office – Project Information Records pertaining to the production of an individual film, television, commercial, videogame, or animation project. May include correspondence, scout itineraries, production schedules, reference photos, TEXscout records, crew lists, contact/vendor lists, and similar information.	AV			CAUTION: Does not include documentation pertaining to film incentives; SEE item number 218b (State Grant Records – Awarded/Funded). Does not include location agreements; see item number 322 (Agreements).
9a	1.1	Film Office – Location Photo Library Includes 35mm photo negatives, prints, and digital photos and video generated by OOG staff.	AC	A	AC = When replaced, superseded, or no longer of value.	
9b	1.1	Film Office – Donated Location Photos Includes 35mm photo prints and digital photos and video.	AV	A		

Retention Codes				Archival Codes (Field 8)	
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Subsection 6.2.4 Tourism

64	1.1	Tourism Community Outreach and Assistance Files Includes application for Community Tourism Assessment and tourism assessment reports.	AC+3		AC = Project completed or terminated.	
68	1.1	Travel Research Files Chiefly includes research reports produced by third parties on topics such as travel trends, advertising effectiveness, etc.	AC+7		AC = Project completed or terminated.	
72	1.1	Advertising Reports Marketing plan and annual reports.	AC+7		AC = Project completed or terminated.	CAUTION: Does not include contract management records; SEE item number 229.
75	1.1	Advertising Campaigns Print and television.	AC+7		AC = After campaign completed.	CAUTION: Does not include contract management records; SEE item number 229.
288	1.1	Tourism Marketing and Public Relations Project Files Includes reports created and received by Tourism Office pertaining to marketing and public relations projects (trade shows, marketing campaigns, etc.) Also includes speeches or presentations, invitations, promotional materials, relevant correspondence, and other records created or received as part of a Tourism project.	FE+5			CAUTION: Does not include contract management records; SEE item number 229.

Retention Codes					Archival Codes (Field 8)	
AC – See 'AC Definition' Column	CE – Calendar Year End	LA – Life of Asset	PM – Permanent		A – Transfer to State Archives	
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Subsection 6.2.5 Other

300	1.1	TWIC Project Files Project files created by the Texas Workforce Investment Council (TWIC). Includes project plans and timelines, annotated outlines of work product, reference materials, raw data from external sources, transitory correspondence, drafts of reports, and convenience copies of final reports.	AC+8		AC = Close of project.	SEE item number 112 for final reports. NOTE: Transitory information and reference materials may be weeded out from project files at any time; SEE item number 102.
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Retention Codes					Archival Codes (Field 8)	
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Office of the Governor
Records Management Policy

Effective July 17, 2018

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1 Introduction

It is the policy of the Office of the Governor to provide for efficient, economic, and effective controls over the creation, distribution, organization, maintenance, use, and disposition of all agency records, consistent with the requirements of Texas Government Code Chapter 441 and rules adopted under it.

1.1 Scope

This policy applies to all agency records created, received, or used within the Office of the Governor (OOG) by any employee, intern, or independent contractor (“employee”), regardless of physical format (paper, electronic, microform, or other medium).

This policy does not supersede any state or federal laws or any other agency policies regarding confidentiality, information dissemination, appropriate use of state resources, or standards of conduct. This policy should be used in conjunction with the agency’s records retention schedule.

Failure to comply with laws concerning governmental records may result in disciplinary action, termination of employment, or criminal prosecution.

1.2 Definitions

- (1) **Agency record:** Any written, photographic, machine-readable, or other recorded information created or received by or on behalf of the OOG that documents activities in the conduct of the state business or use of public resources. The term does not include:
 - a. library or museum material made or acquired and maintained solely for reference or exhibition purposes;
 - b. a duplicate used only for reference purposes (“convenience copy”); or
 - c. a stock of publications or blank forms.
- (2) **Archival record:** Any agency record identified on the records retention schedule as requiring transfer to the State Archives or review by the State Archivist.
- (3) **Confidential record:** Any agency record to which public access is or may be restricted or denied under Texas Government Code, Chapter 552 or any other state or federal law.
- (4) **Electronic record:** Any agency record maintained in an electronic format that requires a computer or similar device to view or edit. The term includes, but is not limited to: email and other electronic communications, word processing documents, spreadsheets, presentations, database information, digital photographs, and audiovisual recordings.
- (5) **Eligible disposition date:** The date a record becomes eligible for destruction or permanent transfer to the State Archives pursuant to the records retention schedule and this policy.
- (6) **Final Disposition:** Destruction or transfer of an agency record to the State Archives for permanent preservation.

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- (7) **Personal papers:** Papers brought into, created, or received in the office that are not used to conduct or document agency business. Examples include but are not limited to: previous work files or reference files; materials that relate solely to an individual's outside volunteer or professional organization activities; and materials that relate solely to an individual's private matters.
- (8) **Record series:** A group of identical or related agency records that are normally used and/or filed together.
- (9) **Records Disposition Log:** A list of agency records destroyed or transferred to the State Archives for permanent preservation in accordance with the agency records retention schedule.
- (10) **Records Management Coordinator (RMC):** The person designated by the director of each division or program unit to coordinate records management activities for that division or program unit.
- (11) **Records Management Officer (RMO):** The person designated by the Chief of Staff under Government Code Section 441.184 to administer the agency's records management program.
- (12) **Records retention schedule:** The document, submitted and certified by TSLAC under Government Code Section 441.185, that lists all records series of the agency and their minimum retention periods.
- (13) **Retention period:** The minimum amount of time, as indicated on the records retention schedule, which must pass between the creation or receipt of an agency record and its final disposition.
- (14) **State Archives:** The Archives and Information Services Division of TSLAC.
- (15) **State Archivist:** The Director of the Archives and Information Services Division of TSLAC or an authorized designee.
- (16) **Transitory information:** Records of temporary usefulness that are not an integral part of a record 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. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions.
- (17) **TSLAC:** The Texas State Library and Archives Commission.

2 Responsibilities

All agency employees and interns are responsible for identifying agency records and ensuring that they are appropriately captured.

2.1 Chief of Staff

The Chief of Staff will, pursuant to Texas Government Code, Section 441.183, 441.184(a), and 441.201:

- establish and maintain a records management program on a continuing and active basis;
- create and maintain records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the agency designed to furnish information to protect the financial and legal rights of the state and any person affected by the activities of the agency;
- make certain that all records of the agency are passed to the agency head's successor in the position of agency head; and
- identify and take adequate steps to protect confidential and vital state records;
- cooperate with TSLAC in the conduct of state agency records management surveys and in fulfilling their duties under Texas Government Code Chapter 441, Subchapter L;
- appoint a records management officer for the agency to administer the agency's records management program;
- designate an archival repository for the records of the executive office of the governor created or received during that governor's term of office.

2.2 Records Management Officer

The Records Management Officer (RMO) administers the agency's Records and Information Management (RIM) Program established by law under Texas Government Code, Section 441.183. The RMO will:

- Assist the Chief of Staff in fulfilling the duties under Texas Government Code Chapter 441, Subchapter L, and administrative rules adopted under that subchapter;
- Disseminate to employees information concerning state laws, administrative rules, and agency policies and procedures relating to the management of state records;
- Provide training, consultative services, and technical assistance to agency staff to support and enable compliance with agency records management policies and legal requirements;
- Provide guidance to the agency regarding the records of programs transferred to or from other state agencies;
- Develop, revise, and submit for certification the agency's records retention schedule pursuant to Texas Government Code, Section 441.185, and administrative rules adopted under that section;
- Develop procedures to ensure the proper disposition of state records pursuant Texas Government Code, Section 441.187, and maintain documentation of record disposition pursuant to administrative rules;
- Participate with Information Resources Managers and staff to ensure records and information requirements are considered in the planning and building phases of database and information system selection and implementation projects; and

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- Cooperate with the Archives and Information Services Division of TSLAC pursuant to Texas Government Code, Section 441.186.

2.3 Division Directors

Records of a division are the responsibility of the director of the division that creates, receives, or maintains them. "Division director" for the purposes of this policy may also include a program director. Each division director will:

- Serve as or appoint at least one Records Management Coordinator (RMC) to coordinate records management activities for that division and, in the event of the vacancy of the RMC role, promptly designate another person to fill the vacancy and notify the RMO of this change;
- Assign responsibility for the classification of all of the division's records and information according to the records retention schedule;
- Oversee the proper classification of the division's records and information according to the records retention schedule, ensuring that records have been classified correctly;
- Ensure the regular and timely disposition of agency records in accordance with the records retention schedule; and
- Certify that agency records owned by the division are not destroyed until the completion of any known litigation, claim, negotiation, audit, Public Information Act request, administrative review, or other action involving the record.

2.4 Records Management Coordinators

An individual designated as a Records Management Coordinator (RMC) should be thoroughly familiar with the records created and maintained by that division. Records Management Coordinators will:

- Develop/implement records management procedures to ensure compliance with the records retention schedule and this policy;
- Disseminate information to division staff concerning the records management program, such as changes in policy or updates to the records retention schedule;
- Answer division staff's records management questions or forward such questions to the RMO;
- Classify the division's records and information according to the records retention schedule as soon as practicable;
- Conduct or supervise the conduct of inventories of the records of each division, as needed, in support of the recertification of the agency records retention schedule;
- Notify the RMO of any record series on the agency records retention schedule that needs to be added, deleted, or revised;
- Coordinate or provide assistance with storage of inactive records, ensuring that sufficient controls exist for the tracking and retrieval of stored records; and
- Attend training classes as needed to support the fulfillment of duties in this section.

3 Records Retention Schedule

All agency records must be maintained in accordance with the records retention schedule.

3.1 General

Pursuant to Texas Government Code, Section 441.185(b), the records retention schedule of the Office of the Governor must list all state records created and received by the agency, propose a period of time each record shall be maintained by the agency, and provide other information necessary for the operation of an effective records management program.

If a record does not appear on the records retention schedule, the RMO should be consulted for further guidance.

3.2 Submission of Schedule and Amendments to TSLAC

The RMO will submit the records retention schedule to TSLAC for recertification pursuant to Texas Government Code, Section 441.185, and according to the timetable established in 13 Texas Administrative Code, Section 6.3.

Agency staff will assist the RMO in identifying changes or additions to record series or retention periods that need to be reflected in the records retention schedule. If the agency has need to amend the records retention schedule at any time between recertification periods, the agency must submit an amendment to the records retention schedule to TSLAC for its approval.

4 Final Disposition

Timely disposition of agency records improves the efficiency of recordkeeping, facilitates access to public information, and reduces operating costs. An agency record that is eligible for disposition should be disposed of as soon as practicable after its eligible disposition date.

4.1 Disposition Process

An agency record is not eligible for disposition until:

- (1) it has met the retention period required by the records retention schedule;
- (2) the division director has certified that the records listed are not known to be subject to any impending or ongoing litigation, audit, Public Information Request, claim, negotiation, administrative review, or other action involving the records; and
- (3) the RMO has verified that the records listed are eligible for disposition.

The disposition of transitory information does not require approval.

4.2 Disposition Methods

After the disposition of an agency record is approved by the RMO, the record should be disposed of according to the following procedures:

Record Type	Method
Archival Record (Paper or Electronic)	Contact the RMO. The RMO will coordinate the delivery/transmittal of the records to the State Archives.
Paper Record (NON-ARCHIVAL)	Shred the record or place the record in a secure shredding container.
Electronic Record (NON-ARCHIVAL)	Delete the file, folder, or database record as appropriate. Deletion of database content may require coordination with Computer Services. Coordinate with RMO and/or Computer Services director to facilitate secure disposal of any record stored on physical media.

4.3 Disposition Documentation

The disposition of agency records must be documented pursuant to Texas Administrative Code, Title 13, Section 6.8. Documentation is not required for the disposal of transitory information.

The RMO maintains official disposition documentation for all agency records. Such documentation includes, but is not limited to, the records disposition log.

Records Management Coordinators should contact the RMO regarding any agency record that cannot be classified under any existing record series on the records retention schedule. As appropriate, the RMO may submit a special request to TSLAC to request to dispose of the record.

5 Separation and Transitions

Records created or acquired in the course of conducting state business are the property of the OOG. Agency records may not be removed from state custody, or destroyed except in accordance with the agency's records retention schedule.

5.1 Employee Separation

Prior to departure, an employee should:

- identify all agency records in his/her possession;
- make certain that responsibility for all agency records in his/her possession has been transferred to another employee or to the division director;
- make certain that all agency records stored on the employee's network user (U:) drive and in the employee's email account are either moved to a network shared drive or disposed of in accordance with the records retention schedule;
- remove or destroy all personal papers and convenience copies in his/her possession; and
- as applicable, return records to central filing systems or storage repositories.

Records should only be copied or transferred from internal OOG resources with approval by the division director responsible for the records (see Section 2.3).

Departing employees should refer any questions regarding the identification, classification, or disposal of agency records to the RMO.

5.2 Transitions

In a change of gubernatorial administrations, the RMO should be consulted on transition planning that involves agency records and information.

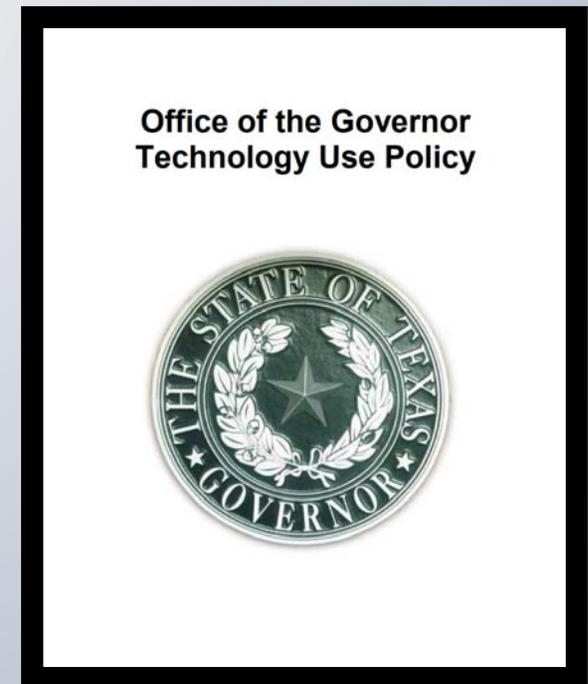


Office of the Texas Governor Information Services

INFORMATION SECURITY

LOGIN DISCLAIMER

- Rules & Regulations (OOG Technology Use Policy →)
- Disciplinary Action, Termination, Criminal Prosecution
- No Expectation of Privacy



FILE STORAGE

- Use network drives
- Do not store files on local drives or removable media
- OOG data only

10. E-mail

- 10.1 All use of e-mail should be professional in nature, be in accordance with appropriate use and be in accordance with both the OOG Employee Handbook and the Ethics/Fraud Policy.
- 10.2 E-mails and any attachments may be subject to public information requests.
- 10.3 E-mails should be handled in accordance with records retention policies.
- 10.4 OOG e-mails should not be forwarded to personal accounts.
- 10.5 Automatic forwarding of OOG e-mail to external accounts is prohibited.
- 10.6 OOG e-mail accounts should not be used to register for or create accounts for personal use of services (e.g. shopping, online forums, e-mail distribution groups, etc.).
- 10.7 E-mail users are responsible for ensuring that all recipients are intended BEFORE sending messages (examine distribution groups, use of reply all, etc.).
- 10.8 All e-mails should use standard fonts and formatting to ensure accessibility and compatibility. Use of visually distracting backgrounds/electronic stationery is prohibited.
- 10.9 The sending of bulk e-mail is prohibited. Users should contact CSD if an e-mail needs to be widely distributed.
- 10.10 Personal information should not be included in e-mail signatures or e-mail (e.g. personal e-mail address, personal cell phone number, social media information, etc.).

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14. Data Creation and Storage

- 14.1 All data created while conducting official business is OOG property and may not be permanently removed from the office without written authorization by the Chief of Staff.
- 14.2 Any data created and stored on OOG resources (including personal data) may be subject to public information requests.
- 14.3 All OOG data should be stored on OOG network resources, including but not limited to:
 - Division shared drive (“S:” drive) – data to be stored, accessed, and used within a division by all members of that division and other authorized users
 - Subdivision drive (“T:” drive) – data to be stored, accessed, and used within a specific subdivision by all members of that subdivision and other authorized users
 - User drive (“U:” drive) – data to be stored, accessed, and used by the individual user
 - Agency shared drive (“Q:” drive) – data that may need to be accessed by users across different divisions
- 14.4 OOG data should only be secured via CSD approved methods; users are prohibited from implementing controls that restrict access to data.
- 14.5 Restricted data should not be copied to or stored on a portable computing device, removable media, or a non-agency owned computing device that is not encrypted.
- 14.6 OOG data should only be removed or transferred from internal OOG resources with approval by the division director responsible for the content (see Data Classification).
- 14.7 OOG data should never be stored using personal devices or services
- 14.8 It is the responsibility of each user to ensure that any data for which they are responsible is properly maintained pursuant to the OOG Records Retention Policy.
- 14.9 Care should be taken when deleting data as it may not be recoverable.

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