



STATE OF TEXAS

Records Retention Schedule Certification

BZ

SLR 105C

Form SLR 105 or SLR 122 must accompany all submissions of this form.

Section 1. Agency Information

(Submitting agencies complete this section only)

Agency Code 360
Agency Name State Office of Administrative Hearings

(Check one)

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

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

(Check one)

- Agency Head
Records Management Officer

Signature [Handwritten Signature]

Name (Print or type) Susan Gage

Date April 15, 2014

Section 2. Approvals

(Submitting agencies do not write in this section)

State Auditor's Office
(For the exclusive use of the State Auditor's Office)

Signature
Name (Print or type)
Date

Not Required at This Time

Texas State Library and Archives Commission
(For the exclusive use of the State Library and Archives Commission)

Signature [Handwritten Signature]
Name (Print or type) Donna Osborne
Date 1/11/16

Cert/Recert No. 7 Amendment No.

CAUTION

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

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





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2. Agency Code		360		3. Agency Name							STATE OFFICE OF ADMINISTRATIVE HEARINGS	
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title			7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.	
					Agency	Storage	Total	9. Remarks				

1.1.002	1	Audits Audits and reviews performed by or on behalf of an agency, including the working papers that support the audit. Also includes audits performed on the agency.	AC+7		AC+7		AC=Publication or release of final audit findings. The State Auditor's Office retains any copies of its audits performed on Texas state agencies.		
1.1.004	2	Legislative Appropriation Requests Including any support documentation created and/or used to justify and support legislative appropriations requests by an agency.	AC+1	5	AC+6	A	AC=September 1 of odd-numbered calendar years. Archival requirements are met by sending the required copies of the requests to the Texas State Publications Depository Program, Texas State Library and Archives Commission.	07-360-014	
1.1.006	3	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+2		AC=Final disposition of the complaint. If complaint becomes the subject of litigation, it must be included in and is subject to the minimum retention period of 1.1.048.		

Retention Codes (Field 7)				Archival Codes (Field 8)	
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	A – Transfer to State Archives	R – Review by State Archivist
AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded		



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1.1.007	4	Correspondence – Administrative Incoming/outgoing and internal correspondence pertaining to the formation, planning, implementation, interpretation, modification, or redefinition of the programs, services, or projects of an agency and the administrative regulations, policies, and procedures that govern them.	4		4	R	Archives Note: Only the administrative correspondence of executive staff, board or commission members, division directors and program heads require archival review. Contact the State Archives when these records have met their retention periods.		
1.1.008	5	Correspondence – General Non-administrative incoming/outgoing and internal correspondence, in any media, pertaining to or arising from the routine operations of the policies, programs, services, or projects of an agency.	2		2		Letters relating to routine correspondence, general inquiries kept by Chief Judge, office admin and secretaries.		
1.1.010	6	Directives Any document that officially initiates, rescinds, or amends general office procedures.	US+1		US+1				

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1.1.013	7	Calendars, Appointment and Itinerary Records Calendars, appointment books or programs, and scheduling or itinerary records, purchased with state funds or maintained by staff during business hours that document appointments, itineraries and other activities of agency officials or employees.	CE+1		CE+1	R	Archives Note: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the State Archives when these records have met their retention periods. 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.		
1.1.014	8	Legal Opinions and Advice From agency legal counsel or the Attorney General, including any requests eliciting the opinions.	AV		AV	R	Note: Does not include legal opinions or advice rendered on a matter in litigation or with regard to pending litigation. See 1.1.048.		
1.1.020	9	Public Information Requests - Not Exempted Includes all correspondence and documentation relating to requests for records that are furnished to the public under Public Information Act (Chapter 552, Government Code).	AC+1		AC+1		AC = Date Request Fulfilled.		

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1.1.021	10	Public Information Requests – Exempted Includes all correspondence and documentation relating to requests for records that are exempt under the Public Information Act (Chapter 552, Government Code).	AC+2		AC+2		AC = Date of notification that records are exempt.		
1.1.023	11	Organization Charts	US		US	A			
1.1.026	12	Texas Register Submissions Copies of all proposed, withdrawn, emergency, and adopted rules; open meetings notices; or any other documents required by law to be submitted to the Texas Register.	AC+1		AC+1		AC = Date of publication in the Texas Register.		
1.1.027	13	Proposed Legislation Drafts of proposed legislation and related correspondence.	AV		AV				
1.1.038	14	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC		AC		AC= Final disposition of summary report. See item number 1.1.067 for summary reports compiled from customer surveys.		

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1.1.040	15	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC		AC	R	AC= End of term in office or termination of service in a state position.		
1.1.041	16	Suggestion System Records Suggestions submitted by agency personnel and responses.	1		1				
1.1.043	17	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1		US+1				
1.1.048	18	Litigation Files Records created by or on behalf of an agency in anticipation of or in the adjudication of a lawsuit.	AC+1		AC+1	R	AC= As applicable, decision of an agency not to file a lawsuit or decision that a lawsuit will not be filed against it on a matter; dismissal of a lawsuit for want of prosecution or on motion of the plaintiff; or final decision of a court (or of a court on appeal, if applicable) in a lawsuit.		

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1.1.053	19	Registration Logs Logs or similar records used to register persons appearing before state agencies as required by Chapter 2004, Government Code, including quarterly reports filed with the Texas Ethics Commission.	AC		AC		AC= Report filed with the Texas Ethics Commission.		
1.1.055	20	Strategic Plan Information resources and operational strategic plans prepared in accordance with § 2054.095 and § 2056.002, Government Code	AC+2	4	AC+6	A	AC = September 1 of odd-numbered calendar years. The archival requirement is met by sending the required copies of the plan to the Texas state Publications Depository Program, Texas State Library and Archives Commission.	07-360-015	
1.1.056	21	ADA (Americans with Disabilities Act) Documentation Self-evaluations and plans documenting compliance with the requirements of the American with Disabilities Act.	3		3		28 CFR 35.105(c).		

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1.1.057	22	<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 or in the preparation of an ongoing records series.</p> <p>Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; telephone message notifications; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation of a specific agency transaction.</p>	AC		AC		AC = Purpose of record has been fulfilled.		
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1.1.058	23	Meeting Agenda and Minutes Official agenda and minutes of state boards, committees, commissions, and councils that conduct open meetings as required by Government Code, Chapter 551.	PM	PM	A	Agency retains permanent record copy. The archival requirement will be met by sending a copy to the Archives and Information Services Division, Texas State Library and Archives Commission.		
1.1.063	24	Staff Meeting Minutes and Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1	1				
1.1.064	25	Agency Performance Measures Documentation Any records of an agency needed for the documentation of output, outcome, efficiency, and explanatory measures in an agency's appropriations request or strategic plan, and for performance measures used to manage the agency.	FE+1	5	FE+6		07-360-016	
1.1.065	26	Reports and Studies (Non-Fiscal) – Raw Data Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV		AV	Does not include source documentation used for information or data included in or directly related to another records series in this schedule. See especially item number 1.1.064.		

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1.1.066	27	Reports-Biennial or Annual Agency (Narrative) Biennial narrative reports to the governor and legislature as required by an agency's enabling statutes, including annual narrative reports if they are required by statute	AC +6		AC+6	A	AC = September 1 of odd-numbered calendar years. The archival requirement is met by sending the required copies of the reports to the Texas State Publications Depository Program, the Texas State Library and Archives Commission.		
1.1.067	28	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3		3	R	Proposal for Decision Reports that track which PFDs have been sent and the billing report.		
1.1.068	29	Reports - Reports on Performance Measures Quarterly and annual reports on agency performance measures submitted to executive and legislative offices	AC+1	5	AC+6		AC = September 1 of odd-numbered calendar years.	07-360-021	

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1.1.069	30	Reports - Activity Reports compiled by agency personnel on a daily or other periodic basis pertaining to workload monitoring, task completion times, number of public contacts, and similar activities.	1		1					
1.1.070	31	Agency Rules, Policies and Procedures – Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services or projects.	AC+3		AC+3		R	AC= Completion or termination of program, rules, policies and procedures. State Office of Administrative Hearings (SOAH's) Employee Handbook. Manuals, guidelines, administrative rules or similar records distributed internally for the use of employees or externally to the public. Also refer to record series 3.3.024 Personnel Policies & Procedures.		
1.1.071	32	Agency, Rules, Policies and Procedures - Working Files Working files used in the development of manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3		AC+3		R	AC= Completion or termination of program, rules, policies and procedures.		

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1.1.072	33	Public Information Reports Reports made to the Office of the Attorney General on an agency's Public Information Act activities.	2		2				
1.1.074	34	Sunset Review Report and Documentation	AC+3		AC+3		R	AC=After the subsequent Sunset Review.	
1.2.001	35	Destruction Authorizations Agency level documents authorizing final disposition of records under a certified records retention schedule.	FE + 3		FE + 3				
1.2.003	36	Forms History File Print masters of original version and all subsequent revisions to an agency form, including any associated design or design modification requests.	AC+1		AC+1			AC = Discontinuance of use of form.	
1.2.005	37	Records Retention Schedule (SLR 105) Agency copy. Formerly RMD 105. Includes documentation of certification and approval – forms SLR 105C (formerly RMD 105C) and/or other forms designated by the State Records Administrator.	US		US			Original is retained by the Texas State Library and Archives Commission. Records Administrator of SOAH retains copy.	

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1.2.006	38	Records Transmittal Forms Agency copy (includes RMD 101, Tx-R-5, 306-58-1, and Agency Storage Forms). Forms indicate records transferred to storage or a transfer of legal custody.	AC+2		AC+2		AC = Date of authorization for destruction, permanent transfer from storage, or transfer to the Archives and Information Services Division, Texas State Library and Archives Commission, by the agency records administrator.		
1.2.008	39	Request for Authority to Dispose of State Records (RMD 102) Agency Copy.	FE+3		FE+3		Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission.		
1.2.010	40	Records Disposition Logs Logs or similar records listing records destroyed or transferred to the Archives and Information Services Division, Texas State Library, showing records series title, dates of records, and date destroyed or transferred.	10		10				
1.2.011	41	Record Center Storage Approval Forms (RMD 106) Agency Copy	US		US				
1.2.012	42	Records Inventory Worksheets	US		US				

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1.2.014	43	Records Management Plans Records management plan and similar records that establish the policies and procedures under which records and information are managed in an agency.	US+1		US+1			
1.2.015	44	Disaster Recovery Services Transmittals (RMD 109) Also includes documentation for disaster recovery services provided by other entities.	FE+1		FE+1			
1.2.016	45	Disaster Recovery Services Approval Forms (RMD 113) Agency copy of form.	AC		AC		AC= Until superseded or termination of service.	
1.3.001	46	State Publications One copy of each state publication as defined on page xi of the introduction of this schedule, except a publication that is subject to a different retention period in this schedule. For example, a meeting agenda (see item number 1.1.058) also meets the definition, but it must be retained permanently; item number 1.1.004, 1.1.055, 1.1.066, 1.1.068 and 4.5.003, which also meet the definition, are closely associated with the appropriations process and must be retained AC+6.	AC+2		AC+2		AC = Until superseded or obsolete. CAUTION: Many state publications must be submitted to the Texas State Publications Depository Program, Texas State Library and Archives Commission, by law (Govt.. Code 441.101-441.106). The Texas State Library and Archives Commission will retain a copy of all state publications submitted to it on a continuing basis, subject to periodic evaluation to determine if the publication merits further retention.	

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2.1.002	47	Master Files	AC		AC	AC = Every seven days the Master File is updated with current data. Prior data is overwritten.		
2.1.007	48	Software Programs	AC		AC	AC = Until electronic records are transferred to and made usable in a new software environment or there are no electronic records being retained to meet an approved retention period that require the software to be retrieved and read.		
2.1.008	49	Hardware Documentation	AC		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.		
2.2.010	50	Data Processing Policies and Procedures	US+3		US+3	Manuals, guidelines, or similar documents establishing data processing policies and procedures in an agency in such areas as access and security, systems development, data retention and disposition, data ownership, production control, system backup, etc.		

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2.2.014	51	Internet Cookies Data resident on hard drives that make use of user-specific information transmitted by the Web server onto the user's computer so that the information might be available for later access by itself or other servers.	AV		AV		Deleted on each PC automatically by Internet Explorer on a rolling 20 day schedule. The disposal of Internet cookies need not be documented through destruction authorizations (1.2.001) or in records disposition logs (1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (1.2.014).		
2.2.015	52	History Files – Web Sites A record of the documents visited during an Internet session that allows users to access previously visited pages more quickly or to generate a record of usage of a state-owned computer.	AV		AV		Deleted on each PC automatically by Internet Explorer on a rolling 20 day schedule. The disposal of history files need not be documented through destruction authorizations (1.2.001) or in records disposition logs (1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (1.2.014).		

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			Agency	Storage	Total	9. Remarks				

3.1.001	53	Applications for Employment - Not Hired Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.	2		2		Records are kept with a selection folder. Refer to record series 3.1.012, 3.1.014. 29 CFR 1602.31		49
3.1.002	54	Applications for Employment – Hired Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.	AC+5		AC+5		AC = Termination of Employment. Records are maintained in the Employee Master File, which is retained for 75 years.		
3.1.006	55	Employee Counseling Records Notes, memoranda, or reports relating to the counseling of an employee for work-related, personal, or substance abuse problems. Usually maintained at the supervisory level except in those agencies with counseling staff.	AC+3		AC+3		AC = Termination of counseling.		

Retention Codes (Field 7)

AC – After Closed, Terminated, Completed, Expired, Settled
 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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2. Agency Code	360	3. Agency Name							STATE OFFICE OF ADMINISTRATIVE HEARINGS	
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.	
			Agency	Storage	Total	9. Remarks				

3.1.011	56	Employee Insurance Records Agency copies of information relating to the selection of employees of life, disability, health, and other types of insurance offered by the State of Texas to its employees.	AC+4		AC+4		AC = Until superseded or termination of employment. CAUTION: Documents that serve as payroll deduction authorizations must be retained as prescribed in 3.2.001. Records are maintained in Employee Benefits Folder and a copy with the Payroll File.		
3.1.012	57	Employment Opportunity Announcements Internal or external announcements or advertisements of job openings, promotions, training programs, or opportunities for overtime.	2		2		Note: records series number 3.1.012, 3.1.002, 3.3.027 and 3.3.028 are maintained in the Posting/Applicant folder for each job announcement. 29 CFR 1602.31		
3.1.013	58	Employment Contracts	AC+4		AC+4		AC=Expiration or termination of the contract according to its terms.		
3.1.014	59	Employment Selection Records Includes notes of interviews with candidates, questions asked of applicants, audio and videotapes of job interviews, driving record and previous injury checks, pre-employment physical examinations, pre-employment drug screening test results, polygraph examination results, and all other records that document the selection process.	2		2		Note: records series number 3.1.012, 3.1.002, 3.3.027 and 3.3.028 are maintained in the Posting/Applicant folder for each job announcement. 29 CFR 1602.31		

Retention Codes (Field 7)	Archival Codes (Field 8)
AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value	A – Transfer to State Archives R – Review by State Archivist
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2. Agency Code	360	3. Agency Name							STATE OFFICE OF ADMINISTRATIVE HEARINGS		
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.		
			Agency	Storage	Total	9. Remarks					

3.1.018	60	Grievance Records Records relating to the review of employee grievances against personnel policies, working conditions, etc.	AC+2		AC+2		AC = Final decision on the grievance. Note: Does not include formal complaints filed by an agency employee with EEO of U.S. Dept. of Labor. See item number 1.1.048.		
3.1.019	61	Performance Appraisals	2		2		Records are maintained in the employee master file. 29 CFR 1620.32(c).		
3.1.020	62	Personnel Corrective Action Documentation Corrective actions are those actions which do not affect pay, status, or tenure and are imposed to correct or improve an employee's job performance.	AC+5		AC+5		AC= Termination of corrective action. CAUTION: If, during the retention period of this records series, any part of this series is used to document and support personnel disciplinary action under item number 3.1.021, all documentation from this series used to support disciplinary action must be retained for the minimum retention period described by item number 3.1.021.		

Retention Codes (Field 7)				Archival Codes (Field 8)	
AC – After Closed, Terminated, Completed, Expired, Settled	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	Storage	Total	9. Remarks			

3.1.021	63	Personnel Disciplinary Action Documentation Disciplinary actions are those actions which may affect pay, status, or tenure. They are imposed to discipline an employee whose conduct is harmful to the best interests of the state, the agency, or the employee work force; and for failure to improve performance or conduct following imposition of corrective action. May include cause for demotion, suspension, or dismissal, and the reasons for failure to give written notice of resignation. May also be sued to document evidence of employee self-improvement efforts, as well as favorable and unfavorable communications.	AC+5		AC+5		AC = Termination of employment.		
3.1.022	64	Personnel Information or Action Forms Forms or similar records used to create or change information concerning the records of an employee including pay grade, position classification, employee number, evaluation date, and termination of employment.	2		2		29 CFR 1602.31		

Retention Codes (Field 7)				Archival Codes (Field 8)			
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4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.		
			Agency	Storage	Total	9. Remarks					

3.1.023	65	Position/Job Descriptions Job descriptions, including all associated task or skill statements, for positions in an agency.	AC+4		AC+4		AC = Until superseded or job eliminated. 40 TAC 815.106(i)..		
3.1.026	66	Criminal History Checks Criminal history record information on job applicants or agency employees obtained from the Department of Public Safety (DPS).	AC		AC		AC = The criminal history record has served the immediate purpose for which it was obtained. Caution: An agency that is authorized to obtain criminal history record information from DPS must refer to its agency's legislation or see Subchapter F, Chapter 411, Government Cod for appropriate retention and use of this information.		
3.1.027	67	Training and Educational Achievement Records (Individual) Certificates of completion, transcripts, test scores or similar records documenting the training, testing or continuing education achievements of an employee.	AC+5		AC+5		AC = Termination of Employment.		

Retention Codes (Field 7)	Archival Codes (Field 8)
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4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks			

3.1.029	68	Documentation or Verification of Employment Eligibility Federal reporting form (INS I-9)	AC+1		AC+1		AC=Termination of employment. Caution: Federal regulation requires that INS 1-9 forms be retained for 3 years from date of hire or 1 year after separation of the employees who terminate from an agency less than 3 years from date of hire are kept for the 3 year retention period. Note: I-9 forms are filed separate from the Employee Master file. 8 CFR 274a.2(b)(2)(i)(A) and (c)(2)		
3.1.031	69	Employee Benefits - Other than Insurance Agency copies of information relating to the selection of available benefit options other than insurance i.e., Long Term Care, Workers Assistance, etc.	AC+2		AC+2		AC=Until Superseded or termination of employment.		
3.1.034	70	Resumes – Unsolicited Retention period applies if an agency replies to the sender of a resume that it will be kept on file should future job openings occur.	AV		AV				

Retention Codes (Field 7)				Archival Codes (Field 8)			
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4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.		
			Agency	Storage	Total	9. Remarks					

3.1.035	71	Performance Bonds Bonds posted by employees and individuals or entities under contract with an agency for the performance of the duties of a position or the terms of a contract with the agency.	AC+4		AC+4		AC=Expiration or termination of the bond according to its term.		
3.1.037	72	Employee Recognition Records Awards, incentives, tenure, etc.	AC+5		AC+5		AC= Termination of employment.		
3.1.038	73	Public Access Option Form Form completed and signed by employee or official, or former employee or official, electing to keep home address, home telephone number, social security number, and family information open or confidential under the Public Information Act, Government Code 552.024	US		US		See 3.3.011		
3.2.001	74	Employee Deduction Authorization Documentation used to start, modify, or stop all voluntary or required deductions from payroll, including garnishment or other court-ordered attachments.	AC+4		AC+4		AC = After termination of employee or after amendment, expiration, or termination of authorization, whichever sooner. Original record is maintained in the Employee Master File and a copy kept with Payroll Files.		

Retention Codes (Field 7)				Archival Codes (Field 8)			
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			Agency	Storage	Total	9. Remarks					

3.2.002	75	Employee Earning Records	4		4		40 TAC 815. 106(i)		
3.2.003	76	Federal Tax Records Includes 1099, W2, FICA, and other tax records.	AC + 4		AC+4		AC = Tax due date, date the claim is filed, or date tax is paid whichever is later. Quarterly to IRS. 26 CFR 31.6001 - 1(e)(2). Includes FICA records.		
3.2.004	77	Income Adjustment Authorizations Used to make increases or decreases to employees' gross pay, FICA, retirement, or in the computation of taxes.	2		2		29 CFR 516.6(c).		
3.2.005	78	W-4 Forms Employer's copy of "Employee's Withholding Exemption Certification."	AC+4		AC+4		AC=Until superseded, obsolete, or upon separation of employee. Original form maintained in the W-4 Master File and a copy with monthly payroll files. 26 CFR 31.6001-1(e)(2).		
3.2.006	79	Wage Rate Tables	2		2		29 CFR 516.6(a)(2).		
3.2.007	80	Unemployment Compensation Records	AC+5		AC+5		AC=Fiscal Year End		

Retention Codes (Field 7)

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Archival Codes (Field 8)

A – Transfer to State Archives
R – Review by State Archivist



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4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.		
			Agency	Storage	Total	9. Remarks					

3.2.008	81	Direct Deposit Application/Authorizations	US		US		Original form maintained in the Employee Miscellaneous File and a copy with monthly payroll.		
3.2.009	82	State Deferred Compensation Records	AC+5		AC+5		AC= All accounts with a vendor or vendors for the individual participant have been closed. For instructions regarding the determination of the closure of accounts and for additional information regarding the retention period see the most current edition of the Benefits Coordinator Reference Manual issued by the Employees Retirement System of Texas.		
3.2.010	83	Human Resources Information System (HRIS) (USPS) Reports Includes supporting documentation.	AC+4		AC+4		AC=Fiscal Year End		
3.3.001	84	Affirmative Action Plans Affirmative action plans for both regular employees and apprenticeship programs.	5		5		29 CFR 30.8(e) for apprenticeship plans.		

Retention Codes (Field 7)	Archival Codes (Field 8)
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			Agency	Storage	Total	9. Remarks					

3.3.004	85	Benefits Plans Employee benefit plans such as pension; life, health, and disability insurance; deferred compensation; etc., including amendments.	US+1		US+1		29 CFR 1627.3(b)(2) Note: The ERS provides website to access information.		
3.3.010	86	Labor Statistics Report Reports providing statistical information on labor force.	3		3				
3.3.011	87	Former Employee Verification Records Minimum information needed to verify employment, includes name, social security number, exact dates of employment, last known address and most recent public access option form.	AC + 10	65	AC + 75		AC = Termination of employment. See item number 3.1.038.	10-360-025	
3.3.015	88	Positions/Job Classification Review File Records relating to review and monitoring of job classifications within an agency.	US+3		US+3				

Retention Codes (Field 7)	Archival Codes (Field 8)
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			Agency	Storage	Total	9. Remarks					

3.3.020	89	Work Schedules/Assignments Work, duty, shift, crew, or case schedules, rosters, or assignments.	1		1				
3.3.022	90	Texas Workforce Commission (TWC) Reports Reports to the agency from TWC or its predecessor pertaining to employees.	3		3				
3.3.023	91	Reimbursable Activities, Requests and Authorizations to Engage in Requests and authorizations for travel; participation in educational programs, workshops, or college classes; or for other work-related activities for which the expenses of the employee are defrayed or reimbursed.	FE+3		FE+3		Note: Information is stored in agency training database and part of employee training record.		
3.3.024	92	Personnel Policies and Procedures Any internally distributed manuals, guidelines or similar records that define agency wide policies and procedures concerning the personnel of an agency.	US+3		US+3				

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Archival Codes (Field 8)

A – Transfer to State Archives
 R – Review by State Archivist



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			Agency	Storage	Total	9. Remarks					

3.3.025	93	Job Procedure Records Any documents detailing the procedural duties and responsibilities of agency positions on a position-by-position basis.	US+3		US+3				
3.3.026	94	Agency Staffing Reports Any reports compiled by an agency on aspects of personnel staffing, including listings of all staff by program or name; staff hired during a month; detailed listings of employees within its organizational structure, position vacancies, analyses of turnover rates and seasonality of employment, etc.	US+3		US+3				
3.3.027	95	Aptitude and Skills Tests Aptitude or skills tests required of job applicants or of current personnel to qualify for promotion or transfer.	US+2		US+2		29 CFR 1602.31 Note: Records are kept with a selection folder. Refer to record series 3.1.012 and 3.1.014.		
3.3.028	96	Aptitude and Skills Tests (Test Papers) Aptitude and skills test papers of job applicants or of current personnel taking a test to qualify for promotion or transfer.	2		2		29 CFR 1602.31. Note: Records are kept with a selection folder. Refer to record series 3.1.012 and 3.1.014.		

Retention Codes (Field 7)	Archival Codes (Field 8)
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			Agency	Storage	Total	9. Remarks			

4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Agency	7. Storage	7. Total	8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
3.3.029	97	Aptitude and Skill Tests (Validation Records) Records of the validation of aptitude and skills tests.	AC+2		AC+2		AC=As long as the test is used by any agency. 29 CFR 1602.31		
3.3.030	98	Training Administration Records Instructional materials and other records associated with in-house training of agency personnel on personnel policies and procedures and other policies and procedures that govern an agency's programs, services, or projects.	US+2		US+2		CAUTION: Does not include hazardous material training records.		
3.3031	99	EEO Reports and Supporting Documentation Includes documentation used to verify EEO reports.	3		3		29 CFR 1602.32, 1602.39, 1602.41, 1602.48 and 1602.50.		
3.3.032	100	Equal Pay Records Reports, studies, aggregated or summary data, and similar documentation compiled to monitor and demonstrate compliance with the federal Equal Pay Act.	3		3		29 CFR 1620.32		

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Archival Codes (Field 8)

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			Agency	Storage	Total	9. Remarks					

3.4.001	101	Accumulated Leave Adjustment Requests Used to create employee leave balances, to transfer leave balances when an employee transfers positions, to adjust carry-over balances on August 31, to correct errors on leave accumulation, and to close out leave accounts on separated employees.	FE+3		FE+3				
3.4.002	102	Leave Status Reports Cumulative report is issued each pay cycle and provides employee leave status information for each position.	FE+ 3		FE+3				
3.4.006	103	Time Cards/Sheets	4		4		Employee weekly time reports. 40 TAC 815.106(i)		
3.4.007	104	Time Off and/or Sick Leave Requests	FE+3		FE+3				
3.4.008	105	Sick Leave Pool Documentation Requests submitted, approvals, number of hours transferred in and out, etc.	FE+3		FE+3				

Retention Codes (Field 7)	Archival Codes (Field 8)
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			Agency	Storage	Total	9. Remarks			

4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Agency	7. Storage	7. Total	8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
	106	Work at Home Agreements	AC+2		AC+2		AC=Termination		
	107	Outside Employment	AC+2		AC+2		AC=Termination of Outside Employment		
4.1.001	108	Accounts Payable Information	FE+1	2	FE+3				
4.1.002	109	Billing Detail	FE+1	2	FE+3		Monthly and credit vouchers sent to agencies under SOAH's jurisdiction and related supporting documentation.	01-360-006	
4.2.001	110	Cash Deposit Vouchers	FE+1	2	FE+3		Copies of deposit vouchers for receipts from state agencies paying by check instead of ITV.	01-360-009	
4.2.005	111	Purchase Vouchers Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE+1	2	FE+3			01-360-008	

Retention Codes (Field 7)

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			Agency	Storage	Total	9. Remarks					

4.2.006	112	General Journal Vouchers	FE+1	2	FE+3			03-360-011	
4.2.007	113	Expenditure Vouchers Travel, payroll, etc.	FE+1	2	FE+3			03-360-010	
4.3.002	114	Receipts Journals and Registers	FE+1	2	FE+3			07-360-020	
4.5.001	115	Worksheets for preparing fiscal reports	FE+1	2	FE+3			07-360-023	
4.5.002	116	Internal Fiscal Management Reports Includes agency monthly budget reports.	FE+1	2	FE+3			07-360-022	
4.5.003	117	Annual Financial Report Required by the General Appropriations Act (100 Day Report).	AC+1	5	AC+6		AC= September 1 of odd-numbered calendar years. Original at SOAH, copies to Publications Clearinghouse, Texas State Library.	07-360-017	

Retention Codes (Field 7)	Archival Codes (Field 8)
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			Agency	Storage	Total	9. Remarks					

4.5.005	118	External Fiscal Reports Special purpose – i.e., federal financial reports, salary reports, etc. Includes HUB Reports.	FE+1	2	FE+3		Harp reports and other miscellaneous reports as requested.	03-360-013	
4.5.006	119	Annual Operating Budget Required by the General Appropriations Act.	FE+1	2	FE+3			07-360-024	
4.6.002	120	Reconciliations	FE+1	2	FE+3			07-360-018	
4.7.004	121	Capital Asset Records	LA+3		LA+3		Inventory of SOAH's furniture and fixtures. Invoices of purchased furniture.		
4.7.006	122	Comptroller Statements	FE	3	FE+3			07-360-019	

Retention Codes (Field 7)	Archival Codes (Field 8)
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CE – Calendar Year End FE – Fiscal Year End	PM – Permanent US – Until Superseded
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2. Agency Code		360		3. Agency Name						STATE OFFICE OF ADMINISTRATIVE HEARINGS	
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title			7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
					Agency	Storage	Total	9. Remarks			

4.7.012	123	Signature Authorization Signature cards or similar records establishing authority of an agency employee to initiate or authorize financial transactions on behalf of an agency.	US + FE+3		US + FE+3		USAS signature cards		
5.1.001	124	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted and rejected bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence.	AC+7		AC+7		AC=Expiration or termination of the instrument according to its terms.		
5.1.003	125	Delivery Reports Delivery receipt forms which show receipt of various correspondences from SOAH to various agencies/persons kept in Docketing.	2		2		Delivery receipt forms which show receipt of various correspondences from SOAH to various agencies/persons kept in Docketing.		
5.1.004	126	Mail and Telecommunications Listings Any mailing address, telephone or fax number, or e-mail address records maintained by an agency on its employees or on entities or persons it serves.	US		US				

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5.1.005	127	Postage Records Records and reports of postage expenses, including postal meter usage.	FE+3		FE+3			
5.1.011	128	Photocopier and Telefax Usage Logs & Reports	AV		AV			
5.1.014	129	Office Procedures Any internally distributed manual, guidelines, or similar records that establish standard office procedures for an agency; for example, agency style manuals, telephone protocols, mail room procedures, prints shop and photocopy ordering instructions.	US+1		US+1		Any internally distributed manual, guidelines, or similar records that establish standard office procedures for an agency; for example, agency style manuals, telephone protocols, mail room procedures, prints shop and photocopy ordering instructions.	
5.2.002	130	Building Construction Project Files Planning, design, and construction records; accepted and rejected bids; correspondence, etc.	AC + 10		AC + 10	R	AC=Completion of Project.	
5.2.003	131	Building Plans and Specifications Includes architectural and engineering drawings, profiles, and blueprints.	LA		LA	R	State Owned.	

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			Agency	Storage	Total	9. Remarks				

4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Agency	7. Storage	7. Total	8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
5.2.003	132	Building Plans and Specifications Includes architectural and engineering drawings, profiles, and blueprints.	AC+2		AC+2		AC= For leased buildings; termination or cancellation of lease.		
5.2.004	133	Building Space Requests	1		1				
5.2.008	134	Equipment History File; Equipment Service Agreements Agreements or contracts between the agency and equipment vendor to provide maintenance service for equipment. Includes requests for installation, moves, services, etc.; and service/repair logbooks, etc.	LA+3		LA+3				
5.2.009	135	Equipment Inventory Detail Report Forms Updates agency portion of the inventory listing and adds, changes, transfers or deletes items from inventory.	FE+3		FE+3				
5.2.010	136	Equipment Manuals	LA		LA				
5.2.011	137	Equipment Warranties	AC+1		AC+1		AC = Expiration of Warranty		

Retention Codes (Field 7)	Archival Codes (Field 8)
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			Agency	Storage	Total	9. Remarks					

4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Agency	7. Storage	7. Total	8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
5.2.014	138	Inventory - Annual Physical Property, equipment, supply verification	FE+3		FE+3				
5.2.016	139	Inventory System Updates Listing shows all additions, changes, deletions, and transfer times for the monthly processing period.	AC+3		AC+3		AC = Transfer of information into annual listing.		
5.2.017	140	Lost and Stolen Property Reports	FE+3		FE+3				
5.2.019	141	Service Orders Agency copy of forms completed by mechanical service personnel for installation or repair. Includes billing code, service, labor, parts, and remarks.	1		1				
5.2.021	142	Surplus Property Sale Reports	FE+3		FE+3				

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			Agency	Storage	Total	9. Remarks				

5.2.023	143	Year to Date Activity (Inventory Listing) Shows additions, changes, transfers, and deletions of information within the inventory system. Data include agency, division, tag number, batch, document, transaction date, location, item code, description, date and cost	FE+3		FE+3		State Property Accounting Reports		
5.2.027	144	Space Utilization Reports	AV		AV				
5.3.008	145	Purchasing Log Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, accepted and rejected bids, and bid tabulation/evaluations.	FE+3		FE+3		Log of purchase orders issued and numbers assigned kept by Admin. Assist. This is a record copy.		
5.4.001	146	Accident Reports and Associated Documentation Accident or occupational disease report (by supervisors and employees) and other associated reports required to be submitted to the Texas Department of Insurance or its predecessors or maintained internally on accident frequency.	CE+5		CE+5		29 CFR 1904.33. The Texas Department of Insurance retains copies of the reports submitted to it for 50 years.		
5.4.002	147	Evacuation Plans Plans for evacuation of agency facilities in cases of emergency.	US		US				

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			Agency	Storage	Total	9. Remarks					

5.4.003	148	Inspection Records Fire, safety, and other inspection records of agency facilities and equipment.	AC+3		AC+3		AC= Inspection, or date of the correction of the deficiency if the inspection report reveals a deficiency.		
5.4.004	149	Fire Orders Orders issued by Fire Marshall to correct deficiencies in compliance with the fire code.	AC+3		AC+3		AC=Deficiency corrected.		
5.4.012	150	Security Access Records Records relating to the issuance of keys, identification cards, building passes, passwords, signed statements or similar instruments of access to agency facilities, equipment or automated systems.	AC+2		AC+2		AC=Until superseded, date of expiration or date of termination, whichever sooner.		
5.4.013	151	Disaster Preparedness and Recovery Plans	US		US				
5.5.001	152	Billing Detail - Telecommunications (Other Than TEX-AN) In addition to summary detail, includes any accompanying detailed listing of long distance calls.	FE+3		FE+3				

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			Agency	Storage	Total	9. Remarks					

5.5.002	153	Long Distance Telephone Log Long distance logs created by agencies for internal documentation purposes. Includes any similar logs created for long distance facsimile or electronic transmissions.	FE	3	FE+3			03-360-012	
5.6.005	154	Vehicle Use Reports Includes mileage, fuel/oil consumption, passenger carried and other related operational information.	FE+3		FE+3		Travel vouchers pertaining to mileage of SOAH's employees.		
5.6.009	155	Parking Permits or Assignments	US		US		Incoming correspondence from DPS relating to parking, updates on SOAH's parking assignments, copies of applications for assignments.		
	156	Docketing Control Logs/Calendars/Confirmation weekly Dockets	AC+1		AC+1		AC = Until superseded. Calendar, weekly dockets for use in controlling docket for SOAH. Located in Docketing.		
	157	New Administrative License Revocation (ALR) Cases From DPS	AC		AC		AC=Create case file. Printed Download Report from DPS. The Electronic record is updated daily from DPS.		

Retention Codes (Field 7)	Archival Codes (Field 8)
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			Agency	Storage	Total	9. Remarks					

Item No.	Agency Item No.	Record Series Title	Agency	Storage	Total	Archival	106 No.	TSLAC ONLY Amend. No.
	158	ALR Case Files (non-appealed) - Closed	AC + 2 mos.		AC + 2mos.	AC=Issuance of Judge's Final Order.		
	159	ALR Appealed Case Files – Closed	AC+1	2	AC+3	AC= Three years after notice of an appeal is filed, SOAH will maintain the file and original recording of proceedings. A copy of the file and recording will be made available for review by the parties or a reviewing court, if necessary.	96-360-003	
	160	ALR Orders	AC+1		AC+1	AC=ALJ's Final Order; includes all SOAH issued Orders contained in the file.		
	161	ALR Court Orders	AC+2		AC+2	AC=Date Received. Decisions received from County and District Court from ALR appealed cases.		
	162	ALR Sound Files (Non-Appealed) These are digital recordings of the ALR hearings held that are stored on SOAH's Q:drive.	AC		AC	AC = 60 days from date of ALJ's decision.		
	163	ALR Sound Files (Appealed) These are digital recordings of the ALR hearings held that are stored on SOAH's Q:drive.	AC + 3 yrs		AC + 3 yrs	AC = Three years after notice of an appeal is filed.		

Retention Codes (Field 7)

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Archival Codes (Field 8)

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 R – Review by State Archivist



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2. Agency Code	360	3. Agency Name							STATE OFFICE OF ADMINISTRATIVE HEARINGS		
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.		
			Agency	Storage	Total	9. Remarks					

	164	Case File - Agency File	AC		AC		AC=After case is closed case record is sent back to Agency. Notation: ARB cases files will be retained in-house for six months from disposition of the file, then destroyed. Parts of this agency number may be confidential.		
	165	Case Files (Closed) SOAH's File Includes PFD Files are in three formats: Hard copy from FY 2008 and prior – stored at State Library Scanned and retained electronically at SOAH from FY 2008 to FY2010 SOAH's Electronic Filing System – from Nov. 2010 to Current.	AC	10	AC+ 10		AC=Judge's orders, PFD and final order received from agency's board. Parts of this agency number may be confidential and subject to legal review.	00-360-005	
	166	Legislative Inquires	AC + 2		AC + 2		AC=Final SOAH response.		
	167	General Docket Electronic Audio Files Digital recordings of the General Docket hearings held that are stored on SOAH's Q:drive.	AC		AC		AC = Sound file(s) will be deleted, from the Q: drive, the date referring agency receives physical or electronic case file, includes CD of audio recording. Recordings maybe maintained longer upon the discretion of SOAH.		

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