



June 21, 2011

Ms. Maria Elena Ramon
Assistant General Counsel
Office of Court Administration
205 W. 14th St. Ste 600
Tom C. Clark State Office Building
Austin, TX 78701

RE: Office of Court Administration
Retention schedule approved for use.

State and Local
Records Management

P.O. Box 12927
Austin, Texas
78711-2927

4400 Shoal Creek Blvd.
Austin, Texas
78756

www.tsl.state.tx.us

Commission Chairman
Sandra J. Pickett

Members
Sharon T. Carr
Martha Dory Freeman
Larry G. Holt
Wm. Scott McAfee
Sally Reynolds
Michael C. Waters

Director and Librarian
Peggy D. Rudd

Assistant State Librarian
Edward Seidenberg

*Making
information
work
for all
Texans*

Dear Ms. Ramon:

Enclosed is a copy of your recertified records retention schedule. Please ensure all old copies of the schedule are superseded with this recertified copy.

Your recertified retention schedule provides you with continuing authorization to dispose of agency records according to its terms. Please note that state regulations (13 TAC §6.8) require documentation of the final disposition of records by your agency. This requirement may be met by maintaining a disposition log or other evidence of the records series titles, dates covered, volume, and date of disposition. We urge on you the importance of disposing of the records of your agency in a timely manner in accordance with the retention periods on your schedule. The destruction of any records of your agency not on your schedule requires special authorization from us.

During a certification period, state regulations (13 TAC §6.4) also require the submission of amendments to the retention schedule as needed to keep the information in the schedule current. If you are not familiar with the amendment process, contact the government information analyst assigned to your agency.

Your efforts in maintaining an up-to-date records retention schedule are appreciated. It not only helps to ensure the integrity of your recordkeeping practices, but it is also essential to the success of your records management program. Your schedule will be due for recertification on the last working day of June 2014. If you have any questions, call the information analyst assigned to your agency, Arann Sheperd, at 512-421-7208.

Sincerely,

Sarah Jacobson
Manager, Records Management Assistance

Enclosure
cc: State Auditor, State Archivist
cc: (without enclosure) Carl Reynolds

R01-212/212



STATE OF TEXAS

Records Retention Schedule Certification

SLR 105C

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

Section 1. Agency Information

(Submitting agencies complete this section only)

Agency Code 212

Agency Name Office of Court Administration

(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) Carl Reynolds

Date March 12, 2010

Section 2. Approvals

(Submitting agencies do not write in this section)

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

Not Required at This Time

Signature

Name (Print or type)

Date

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

Signature [Handwritten Signature]

Name (Print or type) Peggy D. Rudd

Date 6/9/11

Recertification 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.





STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

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2. Agency Code 212		3. Agency Name Office of Court Administration								
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.	
			Agency	Storage	Total					

I. Office of Court Administration									
Category 1: Administrative Records									
Section 1.1 – General									
1.1	OCA - 100	Parental Notification Proceedings Cost and Fees Payment Orders	FE+3		FE+3				
1.1	OCA-101	Docket Sheets (Child Support Specialty Courts)	FE + 4		FE + 4	Docket sheets must be maintained as required by the Cooperative Agreement between the Office of Court Administration and the Office of the Attorney General.			N
1.1	OCA-102	Docket Sheets (Child Protection Specialty Courts)	AV		AV	Official docket sheets are maintained by district clerk pursuant to Local Schedule DC: Records of District Clerk.			N
1.1	OCA-103	Audio recording of court proceedings	AC + 3		AC + 3	AC = date on which recording was made. Tex. Gov't Code Sec. 52.046(c); Walker v. Stefanic, 898 SW2d 347 (San Antonio, 1995)			N

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					
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SLR 105

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2. Agency Code 212		3. Agency Name Office of Court Administration						
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1.1.002	OCA-200 CR-161	Audits Audits and reviews performed by an agency on external entities, on the agency by other entities, or on the agency by internal auditors, including reports received by state auditor's office.	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	OCA-300 CR-001	Legislative Appropriation Requests Including any supporting documentation created and/or used to justify and support legislative appropriations requests by an agency.	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 requests to the Texas State Publications Depository Program, Texas State Library & Archives Commission. NOTE: Only copies of supporting documentation submitted to the Legislative Budget Board are archival.		
1.1.006	OCA-400 CR-039	Complaint Records Complaints received from the public, including test candidates and licensees, concerning the agency and records pertaining to the resolution of the complaint.	AC+2		AC+2		AC=Final disposition of the complaint. CAUTION: If a complaint becomes the subject of litigation, it must be included in and is subject to the minimum retention period of item number 1.1.048		

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1.1.007	OCA-500 CR-042	Correspondence – Administrative Incoming/outgoing and internal correspondence, pertaining to the formulation, planning, implementation, interpretation, modification, or redefinition of the programs, services, or projects of an agency and the administrative regulations, policies, and procedures that govern them.	3		3	R	CAUTION: This records series and item number 1.1.008 should be used only for correspondence that is not included in or directly related to another records series in OCA's approved schedule. For example, a memorandum that documents an appropriation request must be retained for the minimum retention period prescribed by item number 1.1.004.		
1.1.008	OCA-600 CR-044	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.	1		1		See comment to item 1.1.007. See also item 1.1.010.		
1.1.010	OCA-700 CR-089	Directives Any document that officially initiates, recinds, or amends general office procedures	US+1		US+1				

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SLR 105

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1.1.011	OCA-800 CR-100	Executive Orders Any document that initiates, rescinds, or amends a regulation, policy, or procedure that governs the programs, services, or projects of an agency	US+3		US+3	A		
1.1.013	OCA-900 CR-090	Calendars, Appointment and Itinerary Records	CE+1		CE+1	R	Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the State Archives when these records have met their retention periods. CAUTION: A record of this type purchased with personal funds, but used by an OCA employee to document his or her work activities may be a state record and subject to this retention period.	
1.1.014	OCA-1000 CR-091	Legal Opinions and Advice	AV		AV	R	CAUTION: Does not include legal opinions or advice rendered on a matter in litigation or with regard to pending litigation. SEE item 1.1.048.	

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			Agency	Storage	Total						

1.1.019	OCA-1100	Public Relations Records	2		2	R			
1.1.020	OCA-1200 CR-097	Public Information Requests – Not Exempted Includes all correspondence and documentation relating to requests for records that are furnished to the public under Rule 12.	AC+1		AC+1		AC=Date Request fulfilled NOTE: OCA is not subject to the Public Information Act (Open Records Act). It is subject to Rule 12 of the Rules of Judicial Administration.		
1.1.021	OCA-1300 CR-096	Public Information Requests – Exempted Requests for records that are exempt under Rule 12.	AC+2		AC+2		AC=Date of notification that records are exempt.		
1.1.023	OCA-1400	Organization Charts	US		US	A			
1.1.024	OCA-1500	Plans and Planning Records Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC+3		AC+3	R	AC=Decision made to implement or not to implement result of planning process.		
1.1.026	OCA-1600	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.		

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	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				

1.1.027	OCA-1700	Proposed Legislation Drafts of proposed legislation and related correspondence	AV		AV				
1.1	OCA - 1800	Fiscal Notes Fiscal notes prepared on proposed legislation and related correspondence.	AV		AV				
1.1.038	OCA-1900 CR-002	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC+3		AC+3	R	See item 1.1.067 for summary reports compiled from customer surveys. AC=Final disposition of summary report.		
1.1.040	OCA-2000 CR-113	Speeches, Papers and Presentations Notes or text of speeches, papers, 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.		
1.1.043	OCA-2100 CR-080	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1		US+1				

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1.1.048	OCA-2200 CR-047	Litigation Files Records created by or on behalf of an agency in anticipation of or in the adjudication of a lawsuit.	AC+3		AC+3	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.		
1.1.055	OCA-2300	Strategic Plans Information resources and operational strategic plans prepared in accordance with Sections 2054.095 and 2056.002, Govt. Code	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 plans to the Texas State Publications Depository Program, Texas State Library & Archives Commission.		
1.1.056	OCA-2400	ADA (Americans with Disabilities Act) Documentation	3		3		Record Copy: Human Resources		

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1.1.057	OCA-2500 CR-238	Transitory Information Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's record keeping 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 on-going records series.	AC		AC	AC=purpose of record has been fulfilled. CAUTION: Records management officers should use caution in assigning this record series item number to records of an agency to make certain they are not part of another record series listed in this schedule or for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction authorization (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		

1.1058	OCA-2600 CR-048	Meeting Agenda and Minutes Official agenda and minutes of state boards, committees, commissions, and councils.	PM		PM	A	Agency retains permanent record copy in paper form. The archival requirement will be met by sending a copy to the Archives and Information Services Division, TX State Library and Archives Commission. NOTE: The Texas Judicial Council, the Task Force on Indigent Defense and the Judicial Committee on Information Technology as judicial agencies are not subject to the Open Meetings Act. However, all records created by OCA employees for these entities and other judicial boards that would ordinarily fall under Records Series Numbers 1.1.058, 1.1.060, 1.1.061, 1.1.062 will be maintained in accordance with this retention schedule.		
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Archival Codes (Field 8)

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			Agency	Storage	Total				

1.1060	OCA-2700 CR-092	Meetings - Audio or Videotapes of Open Meetings Audio or videotapes of open meetings of state boards, commissions, committees, and councils.	AC+90 Days		AC+90 Days		AC = Approval of the formal minutes by the governing board, council etc. See note at agency item # OCA-2600.		
1.1061	OCA-2800	Meeting - Notes Notes taken during open meetings of state boards, commissions, committees, and councils from which written minutes are prepared.	AC+90 Days		AC+90 Days		AC=Approval of the formal minutes by the governing board, council etc. See note at agency item # OCA-2600.		
1.1062	OCA-2900 CR-223	Meetings - Supporting Documentation Documents submitted at meetings of state boards, commissions, committees, and councils including exhibit items, documentation for agenda items, etc. Includes documents sent in advance of meetings for briefing purposes, some of which may not be submitted at an actual meeting.	2		2	A	See note at agency item # OCA-2600.		
1.1.063	OCA-3000	Staff Meeting Minutes and Notes Minutes or notes and supporting documentation taken at internal agency staff meetings.	1		1		Have legal counsel review before furnishing to public.		

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1.1.064	OCA-3100	Agency Performance Measures Documentation Any records of an agency needed for the documentation of output, outcome, efficiency, and explanatory measures in an agency's appropriations request or strategic plan, and for performance measures used to manage the agency.	FE+3		FE+3		CAUTION: The FE+3 retention period overrides any shorter retention period for a records series in this schedule if the records series is needed for documentation of agency performance measures.		
1.1.065	OCA-3200 CR051	Reports and Studies (Non-Fiscal) – Raw Data Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV		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 1.1.064.		
1.1.066	OCA-3300 CR-112	Reports Biennial or 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	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. AC=Sept. 1 of odd numbered CE		

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1.1.067	OCA-3400	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			
1.1.068	OCA-3500 CR-111	Reports – Reports on Performance Measures Quarterly and annual reports on agency performance measures submitted to the executive and legislative offices.	AC+6		AC+6		AC=September 1 of odd-numbered calendar years.		
1.1.069	OCA-3600 CR-111	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		CAUTION: See item 1.1.064.		

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1.1.070	OCA-3700 CR-079	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, or procedures.		
1.1.071	OCA-3800 CR-079	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, or procedures.		

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1.1.073	OCA-3900	Administrative Hearings Transcripts and final decisions of hearings conducted as part of the regulatory process, and hearings on proposed rules and changes. The records may be maintained with related information including meeting notices, proofs of publication, and meeting minutes.	AC+3		AC+3	R	AC = Last action.		
1.1.075	OCA-4000	Alternative Dispute Resolutions – Final Agreement Final agreement described by Government Code 2009.054©, associated with a matter conducted under an alternative dispute resolution procedure in which personnel of a state agency participated as a party on the agency’s behalf.	AC+4		AC+4		AC = Date of final agreement. Texas Civil Practice and Remedies Code, Chapter 154.071		
Section 1.2 Records Management									
1.2.001	OCA-4100 CR-162	Destruction Authorizations Agency level documents authorizing final disposition of records under a certified records retention schedule.	FE+3		FE+3		Record Copy: Records Management Officer		

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1.2.003	OCA-4200 CR-054	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.		
1.2.004	OCA-4300	Forms Inventory Any periodic listing of all forms used internally or externally by an agency.	US		US			
1.2.005	OCA-4400 CR-117	Records Retention Schedule (SLR 105) Agency copy. Includes documentation of certification and approval – forms SLR 105C and/or other forms approved by the State Records Administrator.	US		US	Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission.		
1.2.006	OCA-4500 CR-005	Records Transmittal Forms Agency copy (includes RMD 101, TX-R-5, 306-58-1, 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 management officer.		

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			

1.2.008	OCA-4600 CR-165	Request for Authority to Dispose of State Records (RMD 102) Agency copy.	FE+3		FE+3	Record Copy: Records management Officer Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission		
1.2.010	OCA-4700 CR-166	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.	FE+10		FE+10	Record Copy: Records Management Officer		
1.2.011	OCA-4800	Record Center Storage Approval Forms (RMD 106) Agency copy	US		US	Record Copy: Records Management Officer		
1.2.012	OCA-4900 CR-168	Records Inventory Worksheets	US		US			
1.2.014	OCA-5000 CR-169	Records Management Plans	US+1		US+1	Record Copy: Records Management Officer		
1.2.015	OCA-5100	Disaster Recovery Service Transmittals (RMD 109) Also includes documentation for disaster recovery services provided by other entities.	FE+1		FE+1	Record Copy: Records Management Officer		

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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			Agency	Storage	Total				

1.2.016	OCA-5200	Disaster recovery Service Approval Form (RMD 113). Agency copy of form.	AC		AC		AC=Until superseded or termination of service.		
Section 1.3 State Publications									
1.3.001	OCA-5300 CR-043	State Publications One copy of each state publication as defined in the intro of the Texas State Records Retention Schedule, except a publication that is subject to a different retention period in this schedule. For example, a meeting agenda (1.1.058) also meets the definition, but it must be retained permanently; items 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 Publication Depository Program, Texas State Library and Archives Commission by law (Section 441.101 – 441.106, Govt Code).		
1.3.002	OCA-5400 CR-217	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV		AV	R			

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Category 2: Electronic Data Processing Records								
Section 2.1 – Automated Application								
2.1.001	OCA-5500	Processing Files Machine-readable files used in the creation, utilization, and updating of master files, including printing, raw data input, maintenance and test, working, and transactional files.	AC		AC	AC = Completion of 3 rd verification cycle, or audit completion confirming successful transaction processing, or required audit trail maintenance, or the ability to restore or migrate when errors are detected or when hardware or software changes occur.		
2.1.002	OCA-5600	Master Files Relatively long-lived computer files containing organized and consistent sets of complete and accurate electronic records.	AC		AC	AC = Completion of 3 rd verification cycle, or audit completion confirming successful transaction updates, or required audit trail maintenance, or the ability to restore or migrate when errors are detected or when hardware or software changes occur.		

Retention Codes (Field 7)				Archival Codes (Field 8)	
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			Agency	Storage	Total			

2.1.007	OCA-5700	Software Programs Automated software application and operating system files including job control language, program listing/source code, etc.	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. 13 TAC 6.94. CAUTION: If an electronic record is scheduled for permanent retention, software needed for access to the record must also be retained permanently. * See Legal Counsel for security related and proprietary exceptions.		
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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		
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			Agency	Storage	Total					

2.1.008	OCA-5800	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	AC = Until electronic records are transferred to and made usable in a new hardware environment or there are no electronic records being retained to meet an approved retention period that require the hardware to be retrieved and read. 13 TAC 6.94. CAUTION: If an electronic record is scheduled for permanent retention, hardware documentation needed for access to the record must also be retained permanently. * See Legal Counsel for security related and proprietary exceptions		
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Retention Codes (Field 7)						Archival Codes (Field 8)	
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			Agency	Storage	Total				

2.1.009	OCA-5900 CR-171B	Technical Documentation Records adequate to specify all technical characteristics necessary for reading or processing of electronic records and their timely, authorized disposition including documentation describing how a system operates and necessary for using the system such as user guides, system or sub-system definitions, system specifications, input and output specifications, and system flow charts; program descriptions and documentation such as program flowcharts, program maintenance logs, change notices, and other records that document modifications to computer programs; and data documentation necessary to access, retrieve, manipulate, and interpret data in an automated system such as a data element dictionary, file layout, code book or table, and other records that explain the meaning, purpose, structure, logical relationships, and origin of the data elements.	AC		AC	AC=Until electronic records are transferred to and made usable in a new hardware or software environment or there are no electronic records being retained to meet an approved retention period that require the documentation to be retrieved and read. 13 TAC 6.94. CAUTION: If an electronic record is scheduled for permanent retention, technical documentation needed for access to the record must also be retained permanently.		
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Retention Codes (Field 7)				Archival Codes (Field 8)	
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			Agency	Storage	Total			

2.1.010	OCA-6000	Audit Trail Records Files needed for electronic data audits such as files or reports showing transactions accepted, rejected, suspended, and/or processed; history files/tapes; records of on-line updates to application files or security logs.	AC		AC	AC=All audit requirements have been met.		
2.1.011	OCA-6100	Finding Aids, Indexes, and Tracking Systems Automated indexes, lists, registers, and other finding aids used to provide access to the hard copy and electronic records.	AC		AC	AC=The related hard copy or electronic records have been destroyed. CAUTION: These records must carry the same retention period and archive code of the records they support.		
Section 2.2 – Computer Operations and Technical Support								
2.2.001	OCA-6200	System Monitoring Records Electronic files or automated logs created to monitor computer systems such as print spool logs, console logs, tape activity logs, etc.	AV		AV			

Retention Codes (Field 7)	Archival Codes (Field 8)
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			Agency	Storage	Total				

2.2.002	OCA-6300	Chargeback Records to Data Processing Service Users Records used to document, calculate costs and bill program units for computer usage and data processing services. These records are also used for cost recovery, budgeting, or administrative purposes.	FE+3		FE+3				
2.2.010	OCA-6400	Data Processing Policies and Procedures Manuals, guidelines, or similar documents establishing data processing policies and procedures in an agency in such areas as access and security, systems development, data retention and disposition, data ownership, production control, system back-up, etc.	US+3		US+3	Medium=Paper and electronic. CAUTION: Does not include technical documentation of procedures necessary for reading or processing of electronic records. See item number 2.1.009.			

Retention Codes (Field 7)				Archival Codes (Field 8)	
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2.2.013	OCA-6500	Quality Assurance Records Information verifying the quality of system, hardware, or software operations including records of errors or failures and the loss of data resulting from such failures, documentation of abnormal termination and of error free processing, checks of changes put into production, transaction histories, and other records needed as an audit trail to evaluate data accuracy.	AC		AC	AC=No longer needed as an audit trail for any records modified. Medium=Paper and electronic. * See legal counsel prior to release.		
2.2.014	OCA-6600	Internet Cookies.	AV		AV	Internet cookies are erased by IT staff during computer upgrades and maintenance. They may be erased by employees when they are no longer of any administrative value.		
2.2.015	OCA-6700	History Files – Web Sites	AV		AV	Agency equipment is set to automatically erase history files every 20 days. They may be erased by employees when they are no longer of any administrative value.		
2.2.016	OCA-6800	Software Registration, Warranties and License Agreement	LA + 3		LA + 3			

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			Agency	Storage	Total				

Category 3: Personnel Records									
Section 3.1 - Employee									
3.1.001	OCA-6900 CR-056	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		29 CFR 1602.31		
3.1.002	OCA-7000 CR-124	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 *See legal counsel prior to release.		
3.1.006	OCA-7100	Employee Counseling Records	AC + 3		AC + 3		AC=Termination of counseling.		

Retention Codes (Field 7)				Archival Codes (Field 8)			
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			Agency	Storage	Total			

3.1.011	OCA-7200 CR-009	Employee Insurance Records Agency copies of information relating to the selection by employees of life, disability, health, and other types of insurance offered by the State of Texas to its employees.	AC		AC	AC=Until superseded or termination of employment. CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item 3.2.001.		
3.1.012	OCA-7300 CR-057	Employment Opportunity Announcements Internal or external announcements or advertisements of job openings, promotions, training programs, or opportunities for overtime.	2		2	29 CFR 1602.31		
3.1.013	OCA-7400 CR-120	Employment Contracts	AC + 4		AC + 4	AC=Expiration or termination of the contract according to its terms.		
3.1.014	OCA-7500 CR-121	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; and all other records that document the selection process.	2		2	29 CFR 1602.31		

Retention Codes (Field 7)				Archival Codes (Field 8)			
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3.1.018	OCA-7600 CR-176	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. CAUTION: Does not include formal complaints filed by an agency employee with the Equal Employment Office (EEO) of the U. S. Department of Labor. SEE item number 1.1.048.		
3.1.019	OCA-7700 CR-122	Performance Appraisals	2		2	29 CFR 1620.32(c)		
3.1.020	OCA-7800 CR-203	Personnel Corrective Action Documents 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 employment.		

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

3.1.021	OCA-7900	Personnel Disciplinary Action Documentation Disciplinary actions are those which may affect pay, status, or tenure. May include cause for demotion, suspension, or dismissal, and the reasons for failure to give written notice of resignation. May also be used to document evidence of employee self-improvement efforts, as well as favorable and unfavorable communications.	AC + 5		AC + 5	AC=Termination of employment.		
3.1.022	OCA-8000 CR-021	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		
3.1.023	OCA-8100 CR-055	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	OCA-8200	Criminal History Checks	AC		AC	The criminal history record has served the immediate purpose for which it was obtained.		

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3.1.027	OCA-8300 CR-058	Training and Education Achievement Records (Individual)	AC + 5		AC + 5	AC=Termination of employment.		
3.1.029	OCA-8400 CR-180	Employment Eligibility, Documentation or Verification of 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 employee, whichever later. Agencies should make certain that the INS I-9 forms for employees who terminate from an agency less than 3 years from date of hire are kept for the 3 year retention period.		
3.1.031	OCA-8500 CR-211	Employee Benefits – Other than Insurance	AC + 2		AC + 2	AC=Until superseded or termination of employment.		
3.1.034	OCA-8600	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			

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3.1.035	OCA-8700	Performance Bonds Bonds posted by employees and individuals or entities under contract with an agency for the performance of the duties of a position of the terms of a contract with the agency.	AC+4		AC+4	AC=Expiration or termination of the bond according to its terms.		
3.1.036	OCA-8800	Apprenticeship Records Summary of applicant qualifications, evaluation basis for selection or rejection, original applications, job assignments, promotions, separations, layoffs, terminations, compensation records, conditions of work, time records, hours of training provided (separate from labor), minority status, and gender of all selected and rejected applicants.	5		5	29 CFR 30.8(e)		
3.1.037	OCA-8900	Employee Recognition Records	AC + 5		AC + 5	AC=Termination of employment.		
Section 3.2 - Payroll								
3.2.001	OCA-9000 CR-126	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 amendments, expiration, or termination of authorization, whichever is sooner.		

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3.2.002	OCA-9100 CR-007	Employee Earning Records	4		4	40 TAC 815.106(i) *See legal counsel prior to release.		
3.2.003	OCA-9200 CR-127	Federal Tax Records Includes FICA records.	AC+4		AC+4	AC=Tax due date, date the claim is filed, or date tax is paid whichever is later. 26 CFR 31.6001-1(e)(2).		
3.2.004	OCA-9300 CR-011	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). *See legal counsel prior to release.		
3.2.005	OCA-9400 CR-023	W-4 Forms	AC+4		AC+4	AC=Until superseded, obsolete, or upon separation of employee. 26 CFR 31.6001-1(e)(2)		
3.2.006	OCA-9500 CR-026	Wage Rate Tables	2		2	29 CFR 516.6(a)(2).		
3.2.007	OCA-9600	Unemployment Compensation Records	AC + 5		AC + 5	AC=Termination of employment benefits.		
3.2.008	OCA-9700 CR-181	Direct Deposit Application/Authorizations	US		US			
3.2.009	OCA-9800 CR-237	State Deferred Compensation Records	AC+5		AC+5	AC=All accounts with a vendor or vendors for the individual participant have been closed.		

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			Agency	Storage	Total	9. Remarks			

3.2.010	OCA-9900	Human Resources Information System (HRIS) Reports	AC+4		AC=4	AC=Last day of period covered in report.		
Section 3.3 – Personnel Administration								
3.3.004	OCA-10000 CR-012	Benefit 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).		
3.3.010	OCA-10100 CR-205	Labor Statistics Reports Reports providing statistical information on labor force.	3		3			
3.3.011	OCA-10200 CR-027	Former Employee Verification Records Minimum information needed to verify employment, includes, name, social security number, exact dates of employment, last known address and most recent public access option form.	AC+75		AC+75	AC=Termination of employment.		
3.3.015	OCA-10300 CR-060	Positions/Job Classification Review File Records relating to review and monitoring of job classifications within an agency.	US+3		US+3			
3.3.020	OCA-10400	Work Schedules/Assignments	1		1			

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			
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			Agency	Storage	Total			

3.3.022	OCA-10500 CR-184	Texas Workforce Commission (TWC) Reports Reports to the agency from TWC or its predecessor pertaining to employees.	3		3			
3.3.023	OCA-10600 CR-004 CR-128	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			
3.3.024	OCA-10700	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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			Agency	Storage	Total					
3.3.026	OCA-10800 CR-129 CR-183	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 listing of employees within its organizational structure, position vacancies, analyses of turnover rates and seasonality of employment, etc.	US+3		US+3					
3.3.030	OCA-10900	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					
3.3.031	OCA-11000 CR-210	EEO Reports and Supporting Documentation Includes documentation used to complete EEO reports.	3		3		29 CFR 1602.32, 1602.39, 1602.41, 1602.48 and 1602.50.			

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			Agency	Storage	Total				

Section 3.4 – Time and Leave									
3.4.002	OCA-11100 CR-206	Leave Status Reports Cumulative report is issued each pay cycle and provides employee leave status information for each position.	FE+3		FE+3				
3.4.003	OCA-11200 CR-065	Less Than Full-Time Worked Reports Dates and hours.	4		4	40 TAC 815.106(i)			
3.4.004	OCA-11300 CR-067	Overtime Authorizations	2		2				
3.4.005	OCA-11400	Overtime Schedules	2		2				
3.4.006	OCA-11500 CR-068	Time Cards and Time Sheets	4		4	40 TAC 815.106(i)			
3.4.007	OCA-11600 CR-072	Time Off and/or Sick Leave Requests	FE+3		FE+3				
3.4.008	OCA-11700	Sick Leave Pool Documentation	FE+3		FE+3				

Retention Codes (Field 7)				Archival Codes (Field 8)	
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			Agency	Storage	Total					

Category 4: Fiscal Records								
Section 4.1 – Worksheets, Detail Information on Financial Event or Transaction								
4.1.001	OCA-11800	Accounts Payable Information	FE+3		FE+3			
4.1.003	OCA-11900	Canceled Checks/Stubs/Warrants/Drafts	FE+3		FE+3			
4.1.005	OCA-12000	Inventory and Other Cost Files Production, job, labor, quotes, pricing, specifications, etc.	FE+3		FE+3			
4.1.007	OCA-12100	Transfers or Budget Revisions	FE + 3		FE + 3			
4.1.008	OCA-12200	Electronic Fund Transfers Direct deposit registers.	FE + 3		FE + 3			
Section 4.2 – Documents of Original Entry								
4.2.001	OCA-12300	Cash Deposit Vouchers Cash deposit slips.	FE+3		FE+3			
4.2.002	OCA-12400	Cash Receipts	FE+3		FE+3			
4.2.003	OCA-12500	Daily Cash Receipts Logs	FE+3		FE+3			

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

4.2.005	OCA-12600	Purchase Vouchers Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE+3		FE+3				
4.2.006	OCA-12700	General Journal Vouchers	FE+3		FE+3				
4.2.007	OCA-12800	Expenditure Vouchers Travel, payroll, etc.	FE+3		FE+3				
Section 4.3 – Journals or Registers									
4.3.001	OCA-12900	Sales Journals or Registers	FE+3		FE+3				
4.3.002	OCA-13000	Receipts Journals or Registers	FE+3		FE+3				
4.3.003	OCA-13100	Expenditures Journals or Registers	FE+3		FE+3				
Section 4.4 - Ledgers									
4.4.001	OCA-13200	General and Subsidiary Ledgers	FE+3		FE+3				
Section 4.5 - Reports									
4.5.001	OCA-13300	Worksheet for Preparing Fiscal Reports	FE+3		FE+3				
4.5.002	OCA-13400	Internal Fiscal Management Reports Includes agency monthly budget reports.	FE+3		FE+3				

Retention Codes (Field 7)				Archival Codes (Field 8)	
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4.5.003	OCA-13500	Annual Financial Reports Required by General Appropriations Act (100 Day Report).	AC+6		AC+6	A	AC=September 1 of odd-numbered calendar years. CAUTION: If an agency does not produce a biennial or annual narrative report as described in item number 1.1.066, then these annual financial reports must be marked with Archival Code A. The archival requirement, when a biennial or annual narrative report is not produced, is met by sending the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission.		
4.4.004	OCA-13600	Employee Savings Bond Ledgers	FE+3		FE+3				
4.5.005	OCA-13700	External Fiscal Reports Special purpose – i.e. federal financial reports, etc. Includes HUB Reports.	FE + 3		FE + 3				
4.5.006	OCA-13800	Annual Operating Budgets Required by the General Appropriations Act.	FE+3		FE+3				

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4.5.007	OCA-13900	USAS Reports - Daily	AC		AC	AC=Receipt and reconciliation of monthly report.		
4.5.008	OCA-14000	USAS Reports - Monthly Includes quarterly reports.	AC		AC	AC=Receipt and reconciliation of annual report.		
4.5.009	OCA-14100	USAS Reports - Annual	FE + 3		FE + 3			
Section 4.6 - Documents Showing Compliance with System of Internal Control								
4.6.001	OCA-14200	Balancing Records	FE+3		FE+3			
4.6.002	OCA-14300	Reconciliations	FE+3		FE+3			
Section 4.7 - Other Fiscal								
4.7.001	OCA-14400	Accounting Policies and Procedures Manual	US+3		US+3			
4.7.002	OCA-14500	Bank Statements	FE+3		FE+3			
4.7.003	OCA-14600	Returned Checks/Warrants/Drafts (Uncollectable)	AC+3		AC+3	AC = After deemed uncollectable		
4.7.004	OCA-14700	Capital Asset Records	LA+3		LA+3			
4.7.006	OCA-14800	Comptroller Statements	FE+3		FE+3			
4.7.007	OCA-14900	Detail Chart of Accounts One for all accounts in use for a fiscal year.	FE+3		FE+3			

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4.7.008	OCA-15000	Federal Grant Records	AC + 3		AC + 3	AC=Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (the Common rule).		
4.7.011	OCA-15100	Texas Facilities Commission Statement Charge or bill statements received by agencies from the Texas Facilities Commission for services provided.	FE+3		FE+3			
4.7.012	OCA-15200	Signature Authorizations	US+FE+ 3		US+FE+ 3			

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Category 5: Support Services Records									
Section 5.1 - General									
5.1.001	OCA-15300	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specification, affidavits of publication of calls for bids, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. See item number 5.1.017 for contract logs.	AC+4		AC+4		AC=Expiration or termination of the instrument according to its terms.		
5.1.004	OCA-15400	Mail and Telecommunication 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				
5.1.005	OCA-15500	Postage Records Records and reports of postage expenses, including postal meter usage.	FE+3		FE+3				

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5.1.012	OCA-15600	Charge Schedules/Price Lists Schedules of prices charged by an agency for services to the public or other agencies, including any documentation used to determine the charges.	US+3		US+3			
5.1.013	OCA-15700	Insurance Policies For vehicles, equipment, etc.	AC+4		AC+4	AC=Expiration or termination of the policy according to its terms.		
5.1.015	OCA-15800	Correspondence Tracking Records Any record created by an agency to track any type of incoming and outgoing correspondence or packages by the U.S. Postal Service or by private couriers.	1		1			
5.1.016	OCA-15900					This record series is now included in 1.1.057.		
5.1.017	OCA-16000	Contract Log. List of agency contracts, leases, and agreements including general obligation, lands lease, utilities, and construction contracts.	FE + 3		FE + 3			

Retention Codes (Field 7)				Archival Codes (Field 8)			
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Section 5.2 – Facility Management								
5.2.003	OCA-16100	Building Plans and Specifications Includes architectural and engineering drawings, profiles, and blueprints.	LA		LA	R		
5.2.007	OCA-16200	Damage Reports Reports of damage to state property.	FE+3		FE+3			
5.2.008	OCA-16300	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, service, etc. and service/repair logbooks, etc.	LA+3		LA+3			
5.2.009	OCA-16400	Equipment Inventory Detail Report Form Updates agency portion of the inventory listing and adds, changes, transfers, or deletes items from inventory.	FE+3		FE+3			
5.2.010	OCA-16500	Equipment Manuals	LA		LA			
5.2.011	OCA-16600	Equipment Warranties	AC+1		AC+1		AC=warranty expiration.	

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5.2.014	OCA-16700	Inventory – Annual Physical Property, equipment, supplies verification.	FE+3		FE+3			
5.2.017	OCA-16800 CR-226	Lost & Stolen Property Reports	FE+3		FE+3			
5.2.021	OCA-16900	Surplus Property Sale Reports	FE+3		FE+3			
5.2.027	OCA-17000	Space Utilization Reports	AV		AV			
Section 5.3 - Purchasing								
5.3.007	OCA-17100	Bid Documentation Includes bid requisition/authorizations, invitations to bid or propose, bid specification, accepted and rejected bids, and bid tabulation/evaluations.	FE+3		FE+3		CAUTION: If a formal written contract is the result of a successful bid or request for proposal, the successful bid or RFP and its supporting documentation must be retained for the same period as the contract. See item 5.1.001.	
5.3.009	OCA-17200	Requests for Information	AC		AC		AC = Date of direct purchase, issuance of request for bids, or decision not to proceed with the procurement, as applicable.	

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Section 5.4 – Risk Management								
5.4.001	OCA-17300	Accident Reports and Associated Documentation	CE+5		CE+5	29 CFR 1904.33		
5.4.002	OCA-17400	Evacuation Plans	US		US			
5.4.003	OCA-17500	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.		
5.4.012	OCA-17600	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 is sooner.		
5.4.013	OCA-17700	Disaster Preparedness and Recovery Plans	US		US			

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Section 5.5 - Telecommunications									
5.5.001	OCA-17800	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				
5.5.002	OCA-17900	Long Distance Telephone Logs	AV		AV				
5.5.006	OCA-18000	Billing Detail – Telecommunication (TEX-AN)	FE + 3		FE + 3				
5.6.004	OCA-18100	License and Driving Record Checks	AC		AC	AC = Until superseded or until termination of employment.			
5.6.009	OCA-18200	Parking Permits or Assignments	US		US				

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II.	Court Reporters Certification Board							
OCA-20000 CR-033	Applicant File Folders – individual and court reporting firms	AC	30	AC+ 30		Security back-up on diskette at Records Center. AC = Until applicant successfully passes test or 5 years.	05-212-009	
OCA-20100 CR-035	Applicant Examinations	3 mos.	1+9 mo	2		Standards and Rules for Certification of Certified Shorthand Reporters as promulgated by the Supreme Court.	05-212-008	
OCA-20200 CR-038	Log - ID Card Control Numbers, Wall Certificates Issued	2		2				
OCA-20300 CR-084	Oral Exam Material - Transcript and original audio of oral exam. (Master)	AC+2	8	AC+10		AC=Completion of Exam O=paper and electronic.		
OCA-20400 CR-085	Written exam material – Original computer generated exam. (Master)	AC+2	8	AC+ 10		AC=Completion of Exam		
OCA-20500 CR-230	CE Course Approval Applications - for licensees and course sponsors	AC+2		AC+2		AC= Approval or denial of application.		

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			Agency	Storage	Total					
1.1.074	OCA-21000 CR-240	Sunset Review and Report Documentation	AC + 3		AC + 3	R	AC=After the subsequent Sunset Review.			



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	OCA-20600 CR-087	Complaints (Preliminary/Dismissed) against individuals and court reporting firms.	10		10		AC= As applicable. If a complaint becomes the subject of litigation, it must be included and is subject to the minimum period of item .			
Category 1: Administrative Records										
Section 1.1 – General										
1.1	OCA-20700 CR-236	Complaints (with disciplinary actions) against individuals and court reporting firms. Includes file and findings of facts or other ruling.	10		10	R				
1.1	OCA-20800 CR-103	Supreme Court Verification of Certified Court Reporters	AC+25		AC+25	A	AC = After date of verification. Originals sent to Archives.			
1.1.004	OCA-20900 CR-001	Biennial Budget Requests CRCB Director Work Papers	AC	6	AC+6	A	AC=September 1 of odd numbered years. The archival requirement will be met by sending the required copies to the Texas State Publications Depository Program, Texas State Library. Only copies of supporting documentation submitted to the Legislative Budget Board are archival.			

Retention Codes (Field 7)

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AV – Administrative Value

CE – Calendar Year End
FE – Fiscal Year End

LA – Life of Asset
MO – Months

PM – Permanent
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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 9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			

III.		Guardianship Certification Board						
		Category 1: Administrative Records						
		Section 1.1 - General						
1.1.058	OCA-23000 GCB-5	Committee Meetings - Agendas and notes	PM		PM	A		
1.1.060	OCA-23100 GCB-6	Committee Meetings - Recordings	PM		PM	A		
1.1.060	OCA-23200 GCB-18	Meetings, Audio or Videotapes of Open/Full Board and Committees	PM		PM	A		
1.1.061	OCA-23300 GCB-17	Meetings - Notes/full Board and committees	AC+2		AC+2		AC = approval of minutes.	
1.1.062	OCA-23400 GCB-7	Committee Meetings - Supporting documentation	AC+2		AC+2	A	AC = date of meeting or completion of pending action involving meeting, whichever is later.	

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



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

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2. Agency Code 212		3. Agency Name Office of Court Administration							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				

1.1.074	OCA-23500 GCB-20	Sunset Review – Recommendation and documentation	AC+3		AC+3	R	AC = after subsequent sunset review.		
		Category 3: Applicant and Board Member Information							
		Section 3.1 - Employee							
	OCA-23600 GCB-2	Applicant Files – Certification denied	AC+5		AC+5		AC = Conclusion of appeal process.		
	OCA-23700 GCB-1	Applicant Files – Certification granted	AC+5		AC+5		AC = Certification expires or surrendered.		
	OCA-23800 GCB-3	Applicant Files - Pending	AC+5		AC+5		AC = 12 months from date of application		
	OCA-23900 GCB-4	Board Member Applications	AC+1		AC+1		AC= not selected, or after term expires.		
	OCA-24000 GCB-15	Exam Results	AC+5		AC+5		AC = completion of exam.		

Retention Codes (Field 7)

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Archival Codes (Field 8)

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

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2. Agency Code 212		3. Agency Name Office of Court Administration						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			

	OCA-24100 GCB-13	Disciplinary Files	AC+5		AC+5	AC = guardian's certification expires, surrendered or revoked. Note: Disposition of complaint is part of guardian's file (copy of letter with Board decision); also in Board minutes, which are permanent.		
	OCA-24200 GCB-14	Disciplinary Log	US		US			

Retention Codes (Field 7)				Archival Codes (Field 8)	
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

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2. Agency Code 212		3. Agency Name Office of Court Administration						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			

	OCA-24300 GCB-10	Criminal History Reports – Applicants Granted Certification	2 or US, which-ever comes first		2 or US, Which-ever comes first	Criminal history reports are retained for the duration of the two-year certification period for certified and provisionally certified guardians. New criminal history reports are required when a guardian applies for re-certification, and when a provisionally certified guardian applies for certification more than 12 months after provisional certification was granted. When certification is denied, revoked, surrendered or expired, criminal history report becomes part of that file, and that retention period applies.		
	OCA-24400 GCB-11	Criminal History Reports – Log of “no application”	US		US			
	OCA-24500 GCB-12	Criminal History Reports – No application	90 days		90 days	See Rule VI(g) – search no more than 90 days before date application is submitted.		

Retention Codes (Field 7)				Archival Codes (Field 8)	
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

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2. Agency Code 212		3. Agency Name Office of Court Administration							
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			

	OCA-24600 GCB-8	Continuing Education – List of approved courses	CE+5		CE+5			
	OCA-24700 GCB-9	Continuing Education – Submissions for approval	CE+2		CE+2			
		Section 3.3 Information Regarding Certified Guardians						
	OCA-24800 GCB-16	List of Certified Guardians	US		US	No “historical” copies. Update as new people are certified, as move from provisional to “full” certification, etc.		

Retention Codes (Field 7)				Archival Codes (Field 8)	
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Instructions for Completing Form SLR 105

Forms SLR 105 must be used by all state agencies to submit the agency records retention schedule (Texas Government Code, Chapter 441, §441.185). See Form SLR 105C instructions for submission procedures. If you have any questions relating to completion of this form or SLR 105C, please contact the State and Local Records Management Division at 512-452-9242.

Formatting: When duplicating this form electronically, leave at least a ¼ inch in the top and left margins. Use 10 point font and larger for the data entered into the schedule.

- Field 1** Enter the page number and the total number of pages in the retention schedule (i.e., 1 of 15).
- Field 2** Enter the 3-digit Agency Code assigned by the Comptroller of Public Accounts.
- Field 3** Enter the complete name of your agency.
- Field 4** Enter the item number for the records series from the *State Records Retention Schedule* (RRS). If the records series title is not included in the RRS, enter the numbers of the appropriate "Category" and "Section" from the RRS where it should be listed. Category and Section Numbers are at the top of the page in the RRS. If the records series cannot be matched to a category and section, then leave Field 4 blank.
- Field 5** Enter the number that has been assigned by your agency to the corresponding records series. If numbers have not been assigned, then begin with number 1 for the first listing and continue in numerical order.
- Field 6** Enter the official title of the records series (i.e., W-4 Forms, Labor Statistics Report, Surety Bonds). The official title that you assign to the records series does not have to be the same as the records series title listed in the RRS.
- Field 7** Enter the retention period the records series is to be retained in active use at the agency, the number of years it is to be retained in an inactive storage facility, such as the State Records Center, and the total of the two amounts. If a retention period is less than one year, enter the number of months. Refer to the retention codes at the bottom of the form.
- Field 8** Using the archival codes at the bottom of the form, indicate the archival value, if applicable, of the records series:
 A - Used with records series that will be transferred to the State Archives and do not require a prior review by the State Archivist.
 R - Used with records series that have undetermined archival value, and require a review by the State Archivist prior to being transferred to the State Archives.

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	

- Field 9** Enter any statute references, other legal citations, or agency policy used as a basis for the retention period.
- Field 10** If this records series is stored at the State Records Center, enter the RMD 106 Storage Approval Number.
- Field 11** DO NOT WRITE IN THIS FIELD. TSLAC USE ONLY.



Retention Codes (<i>Field 7</i>)				Archival Codes (<i>Field 8</i>)	
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	A – Transfer to State Archives	
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