

February 13, 2019



Mr. Michael Fernandez
Administration Director
State Lottery Commission
611 E. Sixth St.
Austin, TX 78701

Re: Agency records retention schedule amendment approved for use.

Dear Mr. Fernandez:

Amendment 5 to your agency's 6th recertification of your records retention schedule is approved for use as of February 4, 2019. Your currently approved records retention schedule and all amendments are available on our website at <https://www.tsl.texas.gov/slrn/state/schedules.html>. Please maintain this amendment with your currently approved schedule so that it can be easily referenced.

We appreciate your efforts in maintaining an up-to-date schedule. Making additions and changes to your schedule as you identify them not only ensures the integrity of your recordkeeping practices, but keeps your agency in compliance with state regulations (13 TAC §6.4) requiring the submission of any needed amendments to a retention schedule during its certification period to keep the information in the schedule current.

We will notify you of the date your schedule is due for recertification. Any additional approved amendments to your schedule, such as this one, should be incorporated into your main retention schedule prior to submitting it for recertification.

Thank you again for your commitment to complying with state records management laws and regulations. If we can provide any assistance to you, please contact the Government Information Analyst assigned to your agency, Bonnie Zuber at 512-463-0188 or bzuber@tsl.texas.gov.

Sincerely,

A handwritten signature in black ink, appearing to read "Craig Kelso".

Craig Kelso
Director and State Records Administrator

cc: Agency head

Lorenzo de Zavala
State Archives and
Library Building

1201 Brazos Street
Austin, Texas
78701

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

www.tsl.texas.gov

Commission Chairman
Michael C. Waters

Members

David C. Garza
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Larry G. Holt
Arthur T. Mann
Darryl Tocker
Martha Wong

Director and Librarian
Mark Smith

Assistant State Librarian
Gloria Meraz

TSLAC

*Preserving yesterday
Informing today
Inspiring tomorrow*

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.

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STATE OF TEXAS
Records Retention Schedule

SLR 122
 Rev. 2017-07

Retention Codes (field 7)

AC – See field 9 for specific records series definition
 AV – Administratively valuable
 CE – Calendar year end
 FE – Fiscal year end
 LA – Life of Asset
 PM – Permanent
 US – Until Superseded

Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
 R/O – Review by State/University Archivist

1. Agency Code: 362		2. Agency Name: Texas Lottery Commission											
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations	13. N, C, O	14. Current AIN
					Years	Months	Days						
OP.dwt.100		Independent Auditor Lottery Monthly Drawing Reports	CDs and USBs		3					TLC Offsite Storage		C	OP.dwt.100
OP.dwt.101		Ball Set Weight Documents	Internal and External - TDA, Certified Lab		3					TLC Offsite Storage		C	OP.dwt.101
OP.dwt.103		Drawings Checklists	Daily 4, Pick 3, All or Nothing, Cash Five, Texas Two Step, Lotto Texas, Texas Triple Chance Mega Millions/Megaplier and Powerball	AC	2			AC = 181 days		TLC Offsite Storage		C	OP.dwt.103
OP.dwt.104		Cumulative Drawing Report										O	
OP.dwt.105		Video Draw Records	Official Draw Records – Broadcast Production/Morning, Day, Evening, Night, DVD, and LTO Tapes, BCP Hard Drive Draw Tapes	AC	5			AC = 180 days/expiration of prize claim period		TLC Offsite Storage		C	OP.dwt.105
OP.dwt.106		Security Draw Tapes	Mega Millions CD/DVD, Powerball CD/DVD, Business Continuity Plan Drawing Tapes/Video Cards and Mini DVD	AC	2			AC = 180 days/expiration of prize claim period		TLC Offsite Storage		C	OP.dwt.106
OP.dwt.112		Secured Records and Logs	Door Entry Control Logs, Ball Seal Logs, Safe Seal Logs, RNG Seal Logs, Microscopic Logs, Weekly Draw Machine Maintenance Logs		4					TLC Offsite Storage		C	OP.dwt.112



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OP.dwt.113		Retailer Incentive Drawing Documents	All entries, winning entries, disqualified entries, alternate entries, checklist, draw report, media records and USBs			6				TLC Offsite Storage		C	OP.dwt.113
OP.dwt.114		Internet Entry Promotional Second Chance Drawings and Second Chance Drawings	Checklist, Video Card and USBs		2					TLC Offsite Storage		C	OP.dwt.114
AD.ir.008	5.4.012	Information Service Request (ISR) - including Security Access Records		AC	3			AC=Until superseded, date of expiration or date of termination, whichever is sooner.				C	AD.ir.008
AD.ir.101		IGOS/OGOS Test Results - Instant Gaming and Online Gaming Online Systems		AC	3			AC=No longer needed as an audit traing for any records modified.				C	AD.ir.101
AD.ir.276	2.1.002	Automated Master Files (Examples include, but not limited to data tables of relational databases)		FE	3							O	AD.ir.276



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AD.ir.278		ICS Input Transaction Files from Lottery Operator Vendor: Master Journal File, MJFDMP	Security for PowerBall only	FE	3							C	AD.ir.278
AD.ir.279		TPIS (Tax Payer Information System) and voucher files from Lottery Operator Vendor		FE	3							C	AD.ir.279
AD.ir.288	2.1.008	Hardware Documentation		LA								O	AD.ir.288
AD.ir.289	2.2.004	Computer Operations Disposition Logs (Hardware, software or data)			10							O	AD.ir.289
AD.ir.290	5.5.001	Billing Detail		FE	3							O	AD.ir.290
AD.ir.292	1.2.010	Electronic Records Purged List			10							O	AD.ir.292



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AD.ir.328	2.1.009	Technical Documentation (Network working papers and documentation)		AC				AC=Until electronic records are transferred to and made usable in a new hardware or software environment with new documentation or there are no electronic records being retained to meet an approved retention period that require the documentation to be retrieved and read. 13 TAC 6.94				C	AD.ir.328



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AD.ir.353	2.1.007	Software, Programs and Command Procedures		AC				AC=Until electronic records are transferred to and made usable in a new software environment with new documentation or there are no electronic records being retained to meet an approved retention period that require the documentation to be retrieved and read. 13 TAC 6.94				C	AD.ir.353
AD.ir.1276	5.2.010	Software Documentation		AC	3							O	AD.ir.1276
AD.ir.1279		Telecommunications Data (call recordings, configuration data, call logs and reports)		AV								C	AD.ir.1279



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OP.pd.26		Scratch Ticket Color Proofs and Press Sheets		AC	3			AC=Game end of Validatioin Date				N	
OP.pd.27		Fulfillment Tracking System Winners Files		AC	3			AC=Game end of Validatioin Date				N	

July 27, 2018



Mr. Michael Fernandez
Administration Director
State Lottery Commission
611 E. Sixth St.
Austin TX, 78701

Re: Agency records retention schedule amendment approved for use.

Dear Mr. Fernandez:

Amendment 4 to your agency's 6th recertification of your records retention schedule is approved for use as of June 25, 2018. Your currently approved records retention schedule and all amendments are available on our website at <https://www.tsl.texas.gov/slrm/state/schedules.html>. Please maintain this amendment with your currently approved schedule so that it can be easily referenced.

Lorenzo de Zavala
State Archives and
Library Building

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Mark Smith

Assistant State Librarian
Gloria Meraz

We appreciate your efforts in maintaining an up-to-date schedule. Making additions and changes to your schedule as you identify them not only ensures the integrity of your recordkeeping practices, but keeps your agency in compliance with state regulations (13 TAC §6.4) requiring the submission of any needed amendments to a retention schedule during its certification period to keep the information in the schedule current.

We will notify you of the date your schedule is due for recertification. Any additional approved amendments to your schedule, such as this one, should be incorporated into your main retention schedule prior to submitting it for recertification.

Thank you again for your commitment to complying with state records management laws and regulations. If we can provide any assistance to you, please contact the Government Information Analyst assigned to your agency, Bonnie Zuber at 512-463-0188 or bzuber@tsl.texas.gov.

Sincerely,

A handwritten signature in black ink, appearing to read "GK".

Craig Kelso
Director and State Records Administrator

cc: Agency head

TSLAC

*Preserving yesterday
Informing today
Inspiring tomorrow*



Texas
State Library
and Archives
Commission

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 362

Agency Name Texas Lottery Commission

(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

Name (Print or type) Mike Fernandez

Date 4/30/18

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

Name (Print or type)

Date

Gloria Meraz
Gloria Meraz
6/25/18

Cert/Recert No.

6

Amendment No.

4

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.

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Rev. 2017-07

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					Years	Months	Days						
MR.131	1.1.069	Reports - Activity (status reports)			2							O	MR.131
HR.908	1.1.069	Human Resources Status Reports			1							O	HR.908
OP.adm.307	1.1.069	Reports - Activity (status reports)			3							O	OP.adm.307
OP.pd.26		Scratch Ticket Color Proofs and Press Sheets		AC	3			AC=Game end of Validation Date				N	
OP.pd.27		Fulfillment Tracking System Winners Files		AC	3			AC=Game end of Validation Date				N	
GC.026	5.1.001	Contracts		AC	7							C	GC.026
AD.ca.004		Contract Reports (general, internal and external, including Legislative Budget Board and Lobbyists)		FE	3							C	AD.ca.004
OP.adv.678		Advertising Services Vendor Contractual Reports		FE	5							C	OP.adv.678
OP.pd.004		Game Close Summary Report (Instant Product)		AC	5			AC= Game end of validation date				C	OP.pd.004



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					Years	Months	Days						
OP.pd.011		Draw Game Files/Reports			3							C	OP.pd.011
OP.pd.014		Lotto Statistics Reports			3							C	OP.pd.014
OP.pd.015		Mega Millions Statistics Reports			3							C	OP.pd.015
OP.os.002		Ticket Testing Reports		AC	3			AC=End of game date				C	OP.os.002
OP.os.005		Security Observations Reports			3							C	OP.os.005
OP.rs.005		Instant Ticket Reports		AC	3			AC=Until instate game reconciled. TLC offsite storage.				C	OP.rs.005
OP.dwt.100		Independent Auditor Lottery Monthly Drawing Reports			3							C	OP.dwt.100
OP.dwt.104		Cumulative Drawing Report			3							C	OP.dwt.104
ENF.100		Texas Crime Information Compliance Review			3							C	ENF.100



May 7, 2018

Mr. Michael Fernandez
Administration Director
Texas Lottery Commission
611 E. Sixth St.
Austin, TX 78701

Re: Agency records retention schedule amendment approved for use.

Dear Mr. Fernandez:

Amendment 3 to your agency's 6th recertification of your records retention schedule is approved for use as of May 1, 2018. Your currently approved records retention schedule and all amendments are available on our website at <https://www.tsl.texas.gov/slrn/state/schedules.html>. Please maintain this amendment with your currently approved schedule so that it can be easily referenced.

We appreciate your efforts in maintaining an up-to-date schedule. Making additions and changes to your schedule as you identify them not only ensures the integrity of your recordkeeping practices, but keeps your agency in compliance with state regulations (13 TAC §6.4) requiring the submission of any needed amendments to a retention schedule during its certification period to keep the information in the schedule current.

We will notify you of the date your schedule is due for recertification. Any additional approved amendments to your schedule, such as this one, should be incorporated into your main retention schedule prior to submitting it for recertification.

Thank you again for your commitment to complying with state records management laws and regulations. If we can provide any assistance to you, please contact the Government Information Analyst assigned to your agency, Bonnie Zuber at 512-463-0188 or bzuber@tsl.texas.gov.

Sincerely,

Craig Kelso
Director and State Records Administrator

cc: Agency head

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TSLAC

*Preserving yesterday
Informing today
Inspiring tomorrow*

B2



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 362

Agency Name Texas Lottery Commission

(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 Mike Fernandez
Name (Print or type) Mike Fernandez

Date 7/25/17

Section 2. Approvals

(Submitting agencies do not write in this section)

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

Signature
Name (Print or type)
Date

Not Required at This Time

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

Signature Gloria Mejia
Name (Print or type) Gloria Mejia
Date 5/1/18

Cert/Recert No. 6 Amendment No. 3

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					Years	Months	Days						
CB.1202		Accounting Services Files	Quarterly Reports Correspondence, Partial Pay Agreements, Active License Files and Application for Waiver, Bingo Licensing and Tax information.	CE	4					Destroy hard copy after uploaded into BOSS and document repository.		C	CB.1202
CB.1203		Active License Files		AC	4					Combined with the Accounting Service Files CB.1202		O	
CB.1205		Temporary Licenses (paper and electronic forms)		CE		2				Destroy hard copy after uploaded into BOSS and document repository.		C	CB.1205
CB.1206		Bingo Licensing and Tax Info (microfilm)								Combined with the Accounting Service Files CB.1202		O	CB.1206
CB.1207		Pull Tab/Bingo Paper Approved Files		AC	5					Destroy hard copy after uploaded into BOSS and document repository.		C	CB.1207
CB.1216	5.1.001	Partial Pay Agreements (Closed)								Combined with the Accounting Service Files CB.1202		O	CB.1216
CB.1220	4.2.003	Daily Cash Receipt Logs		CE	4					Paper copy destroyed after 6 months.		C	CB.1220



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CB.a.1151	1.1.002	Audit Files - Reports/Work papers		AC	7			AC=Final report issue date				C	CB.a.1151
GC.031	1.1.053	Representation Before State Agencies Forms		AC	1			AC=Report Filed with the Texas Ethics Commission			Texas Government Code §2004.004 requires each state agency to file a report each quarter with the Texas Ethics Commission.	N	
OP.adv.777		Promotions Files (contracts, event summaries, sponsorships, reports)		AC	7			AC=the contract is completed or expires.				C	OP.adv.777
OP.adv.778		Promotional Ticket Files (Requests, Logs)		FE	5							C	OP.adv.778
OP.cc.1187	1.3.002	Lottery Photo Files (Photos of prize winners) and/or Security photos			5				E			C	OP.cc.1187



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OP.dwt.114		Internet Entry Promotional Second Chance Drawings and Second Chance Drawings	All entries, winning entries maintained on USB drives, disqualified entries, alternate entries, checklist, draw report and Video Card		2					TLC onsite storage for checklist and video cards. Winning entries on USB drives maintained by TLC, Lottery Operator and Independent Auditor.		C	OP.dwt.114
OP.lov.005	1.1.057	Promotional Coupon Request and Delivery Verification Form	Original paper copy only	AC	6			AC=After completion.		Contract 8.5.6, 8.5.15 and 8.5.19		C	OP.lov.005
OP.lov.006	1.1.057	Promotional Coupon District Coupon Distribution Log	Original paper copy only	AC	6			AC=After completion.		Contract 8.5.6, 8.5.15 and 8.5.19		C	OP.lov.006
OP.lov.007	1.1.057	Promotional Coupon Rep Guidelines for Using Promotional Coupons	Original paper copy only	AC	6			AC=After completion.				C	OP.lov.007
OP.lov.008	1.1.057	Clerk Voucher Rep Signature Log for Receipt of Promotional Items	Original paper copy only	AC	6			AC=After completion.		Contract 8.6.24		C	OP.lov.008
OP.lov.009	1.1.057	System Generated Clerk Vouchers	Paper copy only	AC	6			AC=After completion.		Contract 8.5.7		C	OP.lov.009



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					Years	Months	Days						
OP.lov.010		Texas Lottery Return Checklist and Paperwork	Original paper copy only	AC	3			AC=Upon termination of Lottery License.		Contract 8.4.1.19 and 8.4.1.20		C	OP.lov.010
OP.lov.011		Equipment Removal Form	Original paper copy only	AC	3			AC=Upon termination of Lottery License.		Contract 8.4.1.19 and 8.4.1.20		C	OP.lov.011
OP.lov.012		Rollstock Return Form	Original paper copy only	AC	3			AC=Upon termination of Lottery License.		Contract 8.4.1.19 and 8.4.1.20		C	OP.lov.012
OP.lov.023		SEETR Forms	Copy of form (IGT maintains original)	AC	5			AC=After completion.		Contract 8.6.24		C	OP.lov.023
OP.os.003		Investigation Case Files	Preliminary, Forensic, Administrative, and Report Analysis.	AC	5			AC=After case is closed.				C	OP.os.003
OP.os.004		Evidence Logbook		AC	5			AC=Final item of evidence has related investigation case closed.				C	OP.os.004
OP.os.005		Security Observations Reports	Claim Center Review, Drawings Observation, Retailer Incentive Drawing, Site Visit, Ticket Destruction, and Video Observations.	AC	3			AC=After case is closed.				C	OP.os.005



STATE OF TEXAS
Records Retention Schedule

SLR 122
 Rev. 2017-07

Retention Codes (field 7)

AC – See field 9 for specific records series definition
 AV – Administratively valuable
 CE – Calendar year end
 FE – Fiscal year end
 LA – Life of Asset
 PM – Permanent
 US – Until Superseded

Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
 R/O – Review by State/University Archivist

1. Agency Code: 362		2. Agency Name: Texas Lottery Commission											
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations	13. N, C, O	14. Current AIN
					Years	Months	Days						
OP.os.006		Ticket Anomalies and Security Issues		US						Maintained as reference in the event of recurrence.		O	OP.os.006



December 1, 2016

Mr. Michael Fernandez
Administration Director
Texas Lottery Commission
611 E. Sixth St.
Austin, TX 78701

Re: Agency records retention schedule amendment approved for use

Dear Mr. Fernandez:

Lorenzo de Zavala
State Archives and
Library Building

1201 Brazos Street
Austin, Texas
78701

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

www.tsl.texas.gov

Commission Chairman
Michael C. Waters

Members

Sharon T. Carr
F. Lynwood Givens
Larry G. Holt
Romanita Matta-Barrera
Wm. Scott McAfee
Martha Wong

Director and Librarian
Mark Smith

Assistant State Librarian
Gloria Meraz

Amendment 2 to your agency's 6th recertification of your records retention schedule is approved for use as of Monday, November 21, 2016. Your currently approved records retention schedule and all amendments are available on our website at <https://www.tsl.texas.gov/slrn/state/schedules.html>. Please maintain this amendment with your currently approved schedule so that it can be easily referenced.

We appreciate your efforts in maintaining an up-to-date schedule. Making additions and changes to your schedule as you identify them not only ensures the integrity of your recordkeeping practices, but keeps your agency in compliance with state regulations (13 TAC §6.4) requiring the submission of any needed amendments to a retention schedule during its certification period to keep the information in the schedule current.

We will notify you of the date your schedule is due for recertification. Any additional approved amendments to your schedule, such as this one, should be incorporated into your main retention schedule prior to submitting it for recertification.

Thank you again for your commitment to complying with state records management laws and regulations. If we can provide any assistance to you, please contact the Government Information Analyst assigned to your agency, Bonnie Zuber, at 512-463-0188 or bzuber@tsl.texas.gov.

Sincerely,

Craig Kelso
Director and State Records Administrator

cc: State Auditor, State Archivist, Gary Grief



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 362
Agency Name Texas Lottery Commission

(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 
Name *(Print or type)* Mike Fernandez
Date 04/25/2016

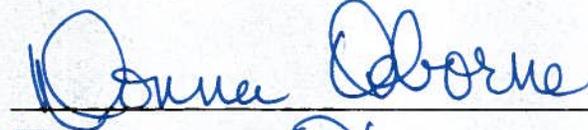
Section 2. Approvals *(Submitting agencies do not write in this section)*

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 
Name *(Print or type)* Donna Osborne
Date 11/21/16

Cert/Recert No. 6 Amendment No. 2

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

1. Agency Code: 362		2. Agency Name: Texas Lottery Commission											
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations	13. N, C, O	14. Current AIN
					Years	Months	Days						
OP.lav.001	1.1.057	Refresher Training	Original paper copy only (electronic record in ES Retailer Services)	AC		6		AC=After completion.		Contract 6.8.9 and 6.8.17		N	
OP.lav.002	1.1.057	District Training Logs	Original paper copy only (electronic record in ES Retailer Services)	AC		6		AC=After completion.		Contract 6.8.9		N	
OP.lav.003	1.1.057	Self Service Equipment Install/Training	Original paper copy only (electronic record in ES Retailer Services)	AC		6		AC=After completion.		Contract 7.12.1.12		N	
OP.lav.004	1.1.057	Request for Self Service Equipment	Original paper copy only (TLC maintains scanned copy)	AC		6		AC=After completion.		Contract 7.12.8		N	
OP.lav.005	1.1.057	Promotional Coupon Request and Delivery Verification Form	Original paper copy only.	AC	5			AC=After completion.		Contract 8.5.6, 8.5.15 and 8.5.19		N	
OP.lav.006	1.1.057	Promotional Coupon District Coupon Distribution Log	Original paper copy only.	AC	5			AC=After completion.		Contract 8.5.6, 8.5.15 and 8.5.19		N	
OP.lav.007	1.1.057	Promotional Coupon Rep Guidelines for Using Promotional Coupons	Original paper copy only.	AC	5			AC=After completion.				N	
OP.lav.008	1.1.057	Clerk Voucher Rep Signature Log for Receipt of Promotional Items	Original paper copy only.	AC	5			AC=After completion.		Contract 8.6.24		N	

Retention Codes (field 7)

AC – See event trigger for specific records series definition
 AV – Administratively valuable
 CE – Calendar year end

FE – Fiscal year end

LA – Life of Asset
 PM – Permanent
 US – Until Superseded

Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
 R/O – Review by State/University Archivist

STATE OF TEXAS

Records Retention Schedule

1. Agency Code: 362		2. Agency Name: Texas Lottery Commission											
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations	13. N, C, O	14. Current AIN
					Years	Months	Days						
OP.lov.009	1.1.057	System Generated Clerk Vouchers	Paper copy only.	AC	5			AC=After completion.		Contract 8.5.7		N	
OP.lov.010		Texas Lottery Return Checklist and Paperwork	Original paper copy only.	AC	2			AC=Upon termination of Lottery License.		Contract 8.4.1.19 and 8.4.1.20		N	
OP.lov.011		Equipment Removal Form	Original paper copy only.	AC	2			AC=Upon termination of Lottery license.		Contract 8.4.1.19 and 8.4.1.20		N	
OP.lov.012		Rollstock Return Form	Original paper copy only.	AC	2			AC=Returned Rollstock destruction		Contract 8.4.1.19 and 8.4.1.20		N	
OP.lov.013		Instant Ticket Return Receipts	Copy of receipt (TLC maintains original)	AC	3			AC=Returned Ticket destruction				N	
OP.lov.14		Manual Instant Ticket Return Form	Copy of receipt (TLC maintains original)	AC	3			AC=Returned Ticket destruction				N	
OP.lov.015		Prize Receipt Signature Forms/Logs	Top Selling Retailer Rewards, Cowboys/Texans Tickets - original paper copy only	AC	5			AC=After completion		Contract 8.6.24		N	
OP.lov.016		Pack Promotion Packing Slip	Copy of slip (TLC maintains original)	AC	5			AC=After completion		Contract 8.6.24		N	
OP.lov.017		Even Promotional Ticket Packing Slip	Copy of slip (TLC maintains original)	AC	5			AC=After completion		Contract 8.6.24		N	
OP.lov.018		Ask for the Sale Retailer Signature Logs	copy of log (TLC maintains original)	AC	5			AC=After completion		Contract 8.6.24		N	

Retention Codes (field 7)

AC – See event trigger for specific records series definition
 AV – Administratively valuable
 CE – Calendar year end

FE – Fiscal year end

LA – Life of Asset
 PM – Permanent
 US – Until Superseded

Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
 R/O – Review by State/University Archivist

STATE OF TEXAS

Records Retention Schedule

1. Agency Code: 362		2. Agency Name: Texas Lottery Commission											
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations	13. N, C, O	14. Current AIN
					Years	Months	Days						
OP.lov.019		Ask for the Sale Retailer Guideline Form	copy of form (TLC mantains original)	AC	5			AC=After completion		Contract 8.6.24		N	
OP.lov.020		Ask for the Sale Packing Slip	copy of the slip (TLC maintains original)	AC	5			AC=After completion		Contract 8.6.24		N	
OP.lov.021		Pack Promotion Retailer Signature Log	copy of log (TLC maintains original)	AC	5			AC=After completion		Contract 8.6.24		N	
OP.lov.022		Event Promotional Ticket Request and Delivery Verification Form	copy of form (TLC mantains original)	AC	5			AC=After completion		Contract 8.6.24		N	
OP.lov.023		SEETR Forms	copy of form (TLC mantains original)	AC	5			AC=After completion		Contract 8.6.24		N	
OP.lov.024		Retailer - signed RPER	copy of form (TLC mantains original)	AC	5			AC=After completion		Contract 8.6.24		N	
OP.lov.025	2.1.002	Master Journal File	Transaction Records	FE	10							N	
OP.pd.26	1.1.057	Transitory Information	Draft working paper documents and communications	AC				AC=After final working papers are executed				N	
OP.rs.449		Camp Complaint Cases	Electronic and paper	AC	5			AC=Case close date				N	

Retention Codes (field 7)

AC – See event trigger for specific records series definition
 AV – Administratively valuable
 CE – Calendar year end

FE – Fiscal year end

LA – Life of Asset
 PM – Permanent
 US – Until Superseded

Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
 R/O – Review by State/University Archivist

STATE OF TEXAS

Records Retention Schedule

1. Agency Code: 362		2. Agency Name: Texas Lottery Commission											
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations	13. N, C, O	14. Current AIN
					Years	Months	Days						
CR.008	11.064	Agency Performance Measures Documentation	Any records of an agency needed for the documentation of output, outcome, efficiency and explanatory measures in an agency's appropriations request or strategic plan and for performance measures used to manage the agency.	FE	3							N	
OP.rs.478		Lottery Retailer License Applications - Electronic	Includes inventory return forms, renewal applications, electronic fund transfer forms, duplicate finger print cards, CD correspondence and miscellaneous correspondence. The Image File contains all forms and correspondence with a retailer that has been scanned into the document imaging system. Paper record destroyed 6 months after converting to electronic storage.	AC	3			AC=Upon termination of the Lottery License and a financial balance due of \$0.			Fair Credit Reporting Act (FCRA).	C	

Retention Codes (field 7)

AC – See event trigger for specific records series definition
 AV – Administratively valuable
 CE – Calendar year end

FE – Fiscal year end

LA – Life of Asset

PM – Permanent

US – Until Superseded

Archival Codes (Field 10)

A/I – Transfer to State/University Archivist

R/O – Review by State/University Archivist



January 13, 2016

Mr. Michael Fernandez
Administration Director
Texas Lottery Commission
611 E. Sixth St.
Austin, TX 78701

State and Local
Records Management

Re: Agency records retention schedule amendment approved for use

Dear Mr. Fernandez:

P.O. Box 12927
Austin, Texas
78711.2927

Amendment 1 to your agency's 6th recertification of your records retention schedule is approved for use as of Monday, January 11, 2016. Your currently approved records retention schedule and all amendments are available on our website at <https://www.tsl.texas.gov/slrn/state/schedules.html>. Please maintain this amendment with your currently approved schedule so that it can be easily referenced.

4400 Shoal Creek Blvd.
Austin, Texas
78756

We appreciate your efforts in maintaining an up-to-date schedule. Making additions and changes to your schedule as you identify them not only ensures the integrity of your recordkeeping practices, but keeps your agency in compliance with state regulations (13 TAC §6.4) requiring the submission of any needed amendments to a retention schedule during its certification period to keep the information in the schedule current.

www.tsl.texas.gov

We will notify you of the date your schedule is due for recertification. Any additional approved amendments to your schedule, such as this one, should be incorporated into your main retention schedule prior to submitting it for recertification.

Commission Chairman
Michael C. Waters

Thank you again for your commitment to complying with state records management laws and regulations. If we can provide any assistance to you, please contact the Government Information Analyst assigned to your agency, Bonnie Zuber, at 512-463-0188 or bzuber@tsl.texas.gov.

Members
Sharon T. Carr
Martha Doty Freeman
F. Linwood Givens
Larry G. Holt
Wm. Scott McAfee
Sandra J. Pickett

Sincerely,

A handwritten signature in blue ink, appearing to read "CK".

Craig Kelso
Director and State Records Administrator

Director and Librarian
Mark Smith

Assistant State Librarian
Edward Seidenberg

cc: State Auditor, State Archivist, Gary Grief

*Preserving yesterday,
informing today,
inspiring tomorrow.*

R01.362/362

362 BZ



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 362
Agency Name Texas Lottery Commission

- (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
Name *(Print or type)* Michael Fernandez
Date 09/29/2015

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
Name *(Print or type)* Donna Osborne
Date 11/11/16

Cert/Recert No. 6 Amendment No. 1

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 Amendment

SLR 122

Form SLR 105C must accompany this form.

1. Page 1 of 1

2. Agency Code 362		3. Agency Name Texas Lottery Commission									
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type	
			Agency	Storage	Total			Page No.	Agency Item No.		

	OP.rs.478	Lottery Retailer License Applications – Electronic (includes inventory return forms, renewal applications, electronic fund transfer forms, duplicate finger print cards, CD correspondence and miscellaneous correspondence.)	AC	5	AC+5	AC= Upon termination of the Lottery License, and a final balance due of \$0. The Image File contains all forms and correspondence with a retailer that has been scanned into the document imaging system. Paper record destroyed 6 months after converting to electronic storage. To be compliant with the Fair Credit Reporting Act (FCRA).			51		C
3.1.026	ENF.106	Background Investigation Case Files on TLC hired or non-hired employees	AC		AC	AC=After notification of separation or non-hiring decision.			53		C

Retention Codes (Field 7)			Archival Codes (Field 8)		Amendment Codes (Field 12)	
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	MO – Months	A – Transfer to State Archives	N – New	C – Changed	
AV – Administrative Value	FE – Fiscal Year End	PM – Permanent	R – Review by State Archivist	D – Deleted		
	LA – Life of Asset	US – Until Superseded				

September 21, 2015

Mr. Michael Fernandez
Administration Director
Texas Lottery Commission
611 E. Sixth St.
Austin, TX 78701

RE: Agency records retention schedule approved for use

Dear Mr. Fernandez:

Your agency's records retention schedule is approved for use as of September 15, 2016. Your currently approved records retention schedule is available on our website at <https://www.tsl.texas.gov/slrn/state/schedules.html>. Please ensure all old copies of the schedule are superseded with this recertified copy.

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

Each agency schedule must be reviewed, updated and submitted for recertification annually for the first two years after the initial approval of the schedule and every five years thereafter. The deadline for submission of your schedule for its next recertification is the last working day of **September 2020**.

During a certification period changes may need to be made to your schedule. State regulations (13 TAC §6.4) also allow for the submission of amendments to the retention schedule as needed to keep the information in the schedule current. If you are not familiar with the amendment process, or if you have any other questions, please contact the Government Information Analyst assigned to your agency, Bonnie Zuber, at 512-463-0188 or bzuber@tsl.texas.gov.

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

Sincerely,



Craig Kelso
Director and State Records Administrator

cc: State Auditor, State Archivist, Gary Grief



State and Local
Records Management

P.O. Box 12927
Austin, Texas
78711.2927

4400 Shoal Creek Blvd.
Austin, Texas
78756

www.tsl.texas.gov

Commission Chairman
Michael C. Waters

Members
Sharon T. Carr
Martha Doty Freeman
F. Linwood Givens
Larry G. Holt
Wm. Scott McAfee
Sandra J. Pickett

Director and Librarian
Mark Smith

Assistant State Librarian
Edward Seidenberg

*Preserving yesterday,
informing today,
inspiring tomorrow.*



STATE OF TEXAS

Records Retention Schedule Certification

SLR 105C

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

Section 1. Agency Information

(Submitting agencies complete this section only)

Agency Code 362

Agency Name Texas Lottery Commission

(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 Michael R. Fernandez
Name (Print or type) Michael R. Fernandez
Date November 10, 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 Donna Osborne
Name (Print or type) Donna Osborne
Date 9/16/15

Recertification No. 6 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.

1. Page 1 of 54

2. Agency Code	362	3. Agency Name						TEXAS LOTTERY COMMISSION					
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								

COMMON RECORDS									
1.1.007	CR.001	Correspondence-Administrative (Division incoming/outgoing and internal correspondence). NOTE: Please note that this records series should be used only for correspondence that is not included in or directly related to another records series on the agency's approved schedule. Please be sure that any administrative correspondence originating from your division that has been routed to or signed by Executive management is being maintained by your division in your administrative correspondence files and handled accordingly for retention.	FE+4		FE+4	R	ARCHIVES NOTE: Only the administrative correspondence of executive staff, board or commission members, division directors and program heads require archival review.		
1.1.008	CR.002	Correspondence-General (Non-administrative incoming/outgoing and internal correspondence)	CE+2		CE+2				

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
CE – Calendar Year End FE – Fiscal Year End	LA – Life of Asset MO – Months
PM – Permanent US – Until Superseded	



STATE OF TEXAS Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 2 of 54

2. Agency Code	362	3. Agency Name					TEXAS LOTTERY COMMISSION				
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						

1.1.013	CR.003	Calendars, Appointment and Itinerary Records	CE+1		CE+1 R	<p>ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members require archival review. Contact the State Archives when these records have met their retention periods.</p> <p>CAUTION: A record of this type purchased with personal funds, but used by a state official or employee to document his or her work activities may be a state record and subject to this retention period. See Open Records Decision 635 issued in December 1995 by the Attorney General.</p>		
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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	
AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded	R – Review by State Archivist	



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 3 of 54

2. Agency Code	362	3. Agency Name TEXAS LOTTERY COMMISSION						
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		

1.1.057	CR.004	<p>Transitory Information (Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information that can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; telephone messages; 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	<p>AC=Purpose of records has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions.</p> <p>The disposal of transitory information need not be documented through destruction 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).</p>		
3.1.006	CR.005	Employee Counseling Records – (Supervisor’s informal records)	AC+3		AC+3	AC=Termination of counseling.		

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
CE – Calendar Year End FE – Fiscal Year End	LA – Life of Asset MO – Months
PM – Permanent US – Until Superseded	



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 4 of 54

2. Agency Code 362		3. Agency Name TEXAS LOTTERY COMMISSION							
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				
1.1.063	CR.006	Staff Meeting Minutes and Notes (Minutes or notes and supporting documentation taken at internal agency staff meetings.	FE+2		FE+2				
1.1.063	CR.007	Business/Directors Meeting Notes	CE+3		CE+3				

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.

1. Page 5 of 54

2. Agency Code	362	3. Agency Name TEXAS LOTTERY COMMISSION							
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				

CHARITABLE BINGO									
	CB.1214	Bingo Election Results (from elections held locally at county/city level; some maps included)	PM		PM				
1.1.058	CB.1215	Bingo Advisory Committee Meeting Minutes	PM		PM	R	Electronic per FY96 Archives Comments. Electronic located on website.		
	CB.1223	BAC nominations and supporting documents	CE+3		CE+3				
1.1.002	CB.a.1151	Audit Files – Reports/Work Papers	AC+3	4	AC+7		AC=Final report issue date.	08-362-061	
4.2.003	CB.1220	Daily Cash Receipts Logs	CE+1	3	CE+4			06-362-053	
5.1.001	CB.1216	Partial Pay Agreements (closed)	AC+4		AC+4		AC=Pay agreement settled.		
	CB.1202	Accounting Services Files (quarterly reports and correspondence)	CE+1	3	CE+4			98-362-018	
	CB.1203	Active License Files	AC+1	3	AC+4		AC=When license becomes inactive.	98-362-021	
	CB.1205	Temporary Licenses	CE+1 MO	3 yrs 11 MO	CE+4			98-362-025	

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
CE – Calendar Year End FE – Fiscal Year End	LA – Life of Asset MO – Months
PM – Permanent US – Until Superseded	



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 6 of 54

2. Agency Code	362	3. Agency Name TEXAS LOTTERY COMMISSION							
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				

	CB.1206	Bingo Licensing and Tax Info (Microfilm)	4		4				
	CB.1207	Pull Tab/Bingo Paper Approval Files (electronic form)	AC+7		AC+7		AC=Date of approval.		
	CB.1209	Licensing Renewal Notices (electronic form)	FE+1		FE+1				
	CB.1210	Worker Registry Applications (applications, renewals, Schedule N3-change form)	CE+1	3	CE+4		CE=Calendar year end of data entry of application or form. Texas Lottery Commission (TLC) offsite storage.	08-362-060	
	CB.1211	Bingo Licensing Supplement Forms	CE+2MO	1	CE+1yr 2MO		CE=Calendar year end of data entry of application or form.	01-362-031	
	CB.1217	Charitable Distribution	CE+3 MO	3 YRS 9 MO	CE+4			98-362-020	
	CB.1218	Card Minding Logs (electronic form)	4		4				
	CB.1219	Electronic Testing	AC+7		AC+7		AC=When pull tab dispensers and card minding devices have been approved.		
	CB.a.1153	Bingo Training Program	FE+2	1	FE+3			07-362-057	

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
CE – Calendar Year End FE – Fiscal Year End	LA – Life of Asset MO – Months
PM – Permanent US – Until Superseded	



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 7 of 54

2. Agency Code 362		3. Agency Name TEXAS LOTTERY COMMISSION							
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				

1.1.038	CB.1221	Customer Service Surveys	AC+1	2	AC+3		AC=Final disposition of summary report. TLC Offsite Storage.		
	CB.1222	Allocations (back-up pre-allocation reports; Register totals, City and/or County Detail List)	FE+5		FE+5				
	CB.1212	Excess Pull Tabs	AC		AC		AC=After product has been closed.		
1.1.067	CB.1224	Bingo Annual Reports (paper and electronic form)	PM		PM	R			
	CB.1225	Bingo Bulletin (Electronic form located on website)	PM		PM				
1.1.006	CB.1204	Complaints (electronic form)	AC+5		AC+5		AC = Final disposition of complaint.		

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	



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 8 of 54

2. Agency Code	362	3. Agency Name TEXAS LOTTERY COMMISSION							
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				

MEDIA RELATIONS									
1.1.040	MR.127	Speeches, Papers and Presentations	AC		AC	R	AC=End of term in office or termination of service in a state position.		
1.1.019	MR.128	Media Productions (Winners News Conferences, Promotional Videos, etc.)	FE +2		FE+2	R			
1.1.019	MR.129	News Releases (Both Video & Electronic)	FE+2		FE+2	R			
1.1.060	MR.130	Meetings, Audio or Videotapes of Open Meetings	AC+90 days		AC+90 days		AC=Official approval of written minutes of the meeting by the governing body of an agency.		
1.1.069	MR.131	Reports – Activity (status reports)	2		2				
1.1.038	MR.132	Customer Surveys	AC+2		AC+2		AC=Final disposition of summary report.		
1.1.019	MR.133	News Clips	PM		PM	R			

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
CE – Calendar Year End FE – Fiscal Year End	LA – Life of Asset MO – Months
PM – Permanent	US – Until Superseded



STATE OF TEXAS Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 9 of 54

2. Agency Code	362	3. Agency Name TEXAS LOTTERY COMMISSION							
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				

EXECUTIVE									
1.1.010	EX.001	Directives	US+1		US+1				
1.1.011	EX.002	Agency Orders	PM		PM	A	Case file in Legal; copy to Archives.		
1.1.013	EX.003	Travel Itineraries	CE+1		CE+1	R			
1.1.013	EX.004	Calendars, Appointment & Itinerary Records	CE+1		CE+1	R	See comments in item CR.003.		
1.1.058	EX.005	Commission Meeting Agenda & Minutes (Transcripts)	PM		PM	A	Copy to Archives; Legal has copy & ASCII disk.		
1.1.059	EX.006	Meeting, Certified Agendas (Commission meeting), Closed	PM		PM		Legal has electronic copy. Govt. Code §551.104(a)		
1.1.062	EX.007	Meetings-Supporting Documentation (Commission meeting notebooks)	2		2	A			
1.1.063	EX.008	Agency Staff Meeting agenda	1		1				
5.1.015	EX.009	Correspondence Tracking Logs	3		3				

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
CE – Calendar Year End FE – Fiscal Year End	LA – Life of Asset MO – Months
PM – Permanent US – Until Superseded	



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 10 of 54

2. Agency Code 362		3. Agency Name TEXAS LOTTERY COMMISSION							
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				

3.1.039	EX.010	Ombudsman Records	AC		AC		AC=Final decision or matter closed. Ombudsman responsible for maintaining own files. CAUTION: Does not include formal complaint filed with EEO. If matter becomes a grievance or the subject of counseling or litigation, or employee is subject to disciplinary action, the records are subject to retention in the appropriate record series.		
	EX.011	Request for Executive Director's or Deputy Executive Director's Action (ED Forms)	CE+2		CE+2				
1.1.007	EX.012	Correspondence-Administrative (Division incoming/outgoing and internal correspondence)	4		4	R			
1.1.008	EX.013	Correspondence-General (Non-administrative incoming/outgoing and internal correspondence)	4		4				
1.1.040	EX.014	Speeches, Papers & Presentations	AC		AC	R	AC=End of term in office or termination of service in a state position.		

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	



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 11 of 54

2. Agency Code 362		3. Agency Name TEXAS LOTTERY COMMISSION							
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				
1.1.063	EX.015	Executive Director meeting agendas and notes (includes Business meetings and Directors' meetings)	AC+1		AC+1		AC = Purpose of record has been fulfilled.		
	EX.016	Witness Affirmation Forms (Commission meetings)	PM		PM				

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			



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 12 of 54

2. Agency Code 362		3. Agency Name TEXAS LOTTERY COMMISSION							
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				

OFFICE OF CONTROLLER									
1.1.002	OC.1.1.001	Audits (Performed by External Auditors or Internal Auditors)	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	OC.1.1.002	Legislative Appropriations Request (Includes supporting documents created and/or used to support request [LAR])	AC+6		AC+6	A	AC=September 1 of odd-numbered calendar years. ARCHIVES NOTE: The Archival requirement is met by sending the required copies of the requests to the Texas State Publications Depository Program, Texas State Library and Archives Commission. Only copies of supporting documentation submitted to the LAR are archival.		
1.1.067	OC.1.1.003	Reports and Studies (Non-Fiscal)	3		3	R			
1.1.068	OC.1.1.004	Reports on Performance Measures	AC+6		AC+6		AC=September 1 of odd-numbered calendar years.		

Retention Codes (Field 7)						Archival Codes (Field 8)			
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	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.

1. Page 13 of 54

2. Agency Code	362	3. Agency Name						TEXAS LOTTERY COMMISSION					
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								

3.2.001	OC.3.2.001	Employee Deduction Authorizations (Includes union dues, prepaid tuition, charitable deductions, savings bonds, credit union, and garnishments, etc.)	AC+4		AC+4	AC=After termination of employee or after amendment, expiration, or termination of authorization, whichever is sooner.		
3.2.003	OC.3.2.002	Federal Tax Records (Includes FICA, 1099, W2 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. 26 CFR 31.6001-1(e)(2)		
3.2.005	OC.3.2.003	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	OC.3.2.004	Wage Rate Tables (Comptrollers Salary Charts, Comptrollers Time Schedules)	2		2	29 CFR 516.6 (a)(2)		
3.2.007	OC.3.2.005	Unemployment Compensation Records (TWC quarterly reports)	AC+5		AC+5	AC=End of payroll calendar (Nov. 30)		
3.2.008	OC.3.2.006	Direct Deposit Application/Authorization	US		US			

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



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 14 of 54

2. Agency Code 362		3. Agency Name TEXAS LOTTERY COMMISSION							
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				

3.2.009	OC.3.2.007	State Deferred Compensation Records. (401K, 457)	AC+5		AC+5	AC=All accounts with a vendor, vendors or employees for the individual participant have been closed or the employee has terminated employment.		
3.3.026	OC.3.3.001	Agency Monthly Staffing Reports (Position Charts)	US+3		US+3			
4.1.001	OC.4.1.001	Accounts Payable Information (Aging Reports, Logs, Major Vendor List, AP/GL, other AP related reports)	FE+3		FE+3			
4.1.003	OC.4.1.002	Cancelled Checks/Stubs/Warrants/Drafts	FE+3		FE+3			
4.1.004	OC.4.1.003	Encumbrance Detail	FE+3		FE+3			
4.1.006	OC.4.1.004	Investment Transaction Files	FE+3		FE+3			
4.1.007	OC.4.1.005	Transfer or Budget Revisions	FE+3		FE+3			
4.1.008	OC.4.1.006	Electronic Funds Transfers (weekly sweeps, ACH payment)	FE+3		FE+3			
4.2.001	OC.4.2.001	Cash Deposit Vouchers (including cash deposit slips)	FE+3		FE+3			

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	



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 15 of 54

2. Agency Code 362		3. Agency Name TEXAS LOTTERY COMMISSION							
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				

4.2.004	OC.4.2.002	Encumbrance Vouchers	FE+3		FE+3				
4.2.005	OC.4.2.003	Purchase Vouchers	FE+3		FE+3				
4.2.006	OC.4.2.004	General Journal Vouchers	FE+3		FE+3				
4.2.007	OC.4.2.005	Expenditure Vouchers (Travel, Payroll, etc.)	FE+3		FE+3				
4.3.001	OC.4.3.001	Sales Journals or Registers	FE+3		FE+3				
4.3.002	OC.4.3.002	Receipts Journals or Registers	FE+3		FE+3				
4.3.003	OC.4.3.003	Expenditure Journal or Registers	FE+3		FE+3				
4.4.001	OC.4.4.001	General and Subsidiary Ledger (Retailer Adjustment Reports, automated GL Reports)	FE+3		FE+3				
4.4.002	OC.4.4.002	Accounts Receivable Ledgers	FE+3		FE+3				
4.4.003	OC.4.4.003	Accounts Payable Ledgers	FE+3		FE+3				
4.4.004	OC.4.4.004	Employee Savings Bond Ledgers	FE+3		FE+3				

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
CE – Calendar Year End FE – Fiscal Year End	LA – Life of Asset MO – Months
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 16 of 54

2. Agency Code		362		3. Agency Name TEXAS LOTTERY COMMISSION							
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						

4.5.001	OC.4.5.001	Worksheets for Preparing Fiscal Reports	FE+3		FE+3				
4.5.002	OC.4.5.002	Internal Fiscal Management Reports (Monthly Budget Reports)	FE+3		FE+3				
4.5.003	OC.4.5.003	Annual Financial Reports (AFR)	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 and Archives Commission.		
4.5.005	OC.4.5.004	External Fiscal Reports	FE+3		FE+3				
4.5.006	OC.4.5.005	Annual Operating Budgets (Required by the General Appropriations Act)	FE+3		FE+3				
4.5.007	OC.4.5.006	USAS Reports – Daily	AC		AC		AC=Receipt and reconciliation of monthly reports.		
4.5.008	OC.4.5.007	USAS Reports – Monthly	AC		AC		AC=Receipt and reconciliation of annual reports.		
4.5.009	OC.4.5.008	USAS Reports – Annual	FE+3		FE+3				

Retention Codes (Field 7)						Archival Codes (Field 8)			
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	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.

1. Page 17 of 54

2. Agency Code	362	3. Agency Name TEXAS LOTTERY COMMISSION							
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				

4.6.002	OC.4.6.001	Reconciliations	FE+3		FE+3				
4.7.002	OC.4.7.001	Bank Statements (Prize Payment Account Bank Reconciliation & supporting documents (prize checks & debt set-off, Travel Advance Account Reconciliation & supporting documents)	FE+4		FE+4		Check information on diskette from Bank.		
4.7.003	OC.4.7.002	Returned Checks/Warrants/Drafts (Uncollectible)	AC+3		AC+3		AC=After deemed uncollectible.		
4.7.004	OC.4.7.003	Capital Asset Records	LA+3		LA+3				
4.7.005	OC.4.7.004	Claim Files – Winner Files (Treasury Investment Schedule, Winner Personal/ Financial Data/Assignments, Payment Schedule, wire letters, Reimbursement Voucher from Treasury)	AC+3		AC+3		AC=After payments expire.		
4.7.007	OC.4.7.005	Detail Chart of Accounts (one for all accounts in use for a fiscal year)	FE+3		FE+3				
4.7.012	OC.4.7.006	Signature Authorizations (Signature card information sent to the Bank, signatures with TTSTC, signature with CPA, all other)	US+FE+3		US+FE+3				

Retention Codes (Field 7)	Archival Codes (Field 8)
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	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.

1. Page 18 of 54

2. Agency Code 362		3. Agency Name TEXAS LOTTERY COMMISSION						
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			
	OC.9.9.001	Jackpot Estimation (sales, game summary, online gaming reports, and ICS related reports)	FE+3		FE+3		ICS=Internal Control System.	

Retention Codes (<i>Field 7</i>)				Archival Codes (<i>Field 8</i>)	
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AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded	R – Review by State Archivist	



STATE OF TEXAS Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 19 of 54

2. Agency Code	362	3. Agency Name TEXAS LOTTERY COMMISSION							
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				

ADMINISTRATION									
1.1.067	AD.002	Energy Conservation Quarterly Updates to the Governor's Office	3		3	R			
1.1.070	AD.pp.001	Directives, Policies and Procedures – Final	AC+3		AC+3	R	AC=Completion or termination of program directives, policies or procedures.		
1.1.071	AD.pp.002	Directives, Policies and Procedures – Working Files	AC+3		AC+3	R	AC=Completion or termination of program directives, policies or procedures.		
1.2.001	AD.rr.001	Destruction Authorizations	FE+3		FE+3		Final disposition of records either by destruction or transfer to State Archives. Paper record destroyed 6 months after converting to electronic storage.		
1.2.005	AD.rr.003	Records Retention Schedule	US		US		Original is filed with TSLAC.		

Retention Codes (Field 7)	Archival Codes (Field 8)
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	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.

1. Page 20 of 54

2. Agency Code		362		3. Agency Name						TEXAS LOTTERY COMMISSION					
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		

1.2.006	AD.rr.004	Records Transmittal Forms (RMD 101)	AC+2		AC+2	AC=Final disposition of records either by destruction or transfer to State Archives.		
1.2.010	AD.rr.005	Records Disposition Logs	10		10			
1.2.011	AD.rr.006	Record Center Storage Approval Forms (RMD 106)	US		US			
1.2.012	AD.rr.007	Records Inventory Worksheet	US		US			
1.1.043	AD.hub.001	HUB Training Materials	US+1		US+1			
	AD.hub.002	HUB Documentation Outreach/Mentor Protégé Program	FE+3		FE+3			
1.1.066	AD.hub.003	Annual Minority Business Participation Reports	AC+1	5	AC+6	A AC=Sept. 1 of odd-numbered years. Required by Texas Government Code 466.107. The Archival requirement is met by sending the required copies of the report to the Texas State Library Texas State Publications Clearinghouse. TLC Offsite Storage.		

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	AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded	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.

1. Page 21 of 54

2. Agency Code		362		3. Agency Name TEXAS LOTTERY COMMISSION							
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						

1.1.065	AD.hub.004	Raw Data - Statewide HUB Report (Data provided to CPA for Statewide HUB Report)	AC+1	5	AC+6	AC=September 1 of odd numbered years. TLC Offsite Storage		
4.5.002	AD.hub.005	Internal HUB Reports	FE + 3		FE + 3			
5.1.001	AD.ca.001	Lottery Operator Incident Reports	AC+7		AC+7	AC= the contract is completed or expires or all issues that arise from any litigation, claim, negotiation, audit, open records request, administrative review, or other action involving the contract or documents are resolved.		
5.1.001	AD.ca.002	Contracts and Leases (includes performance bonds, compliance reports, business subcontracting documentation, monthly subcontracting reports and correspondence.)	AC+7		AC+7	AC= the contract is completed or expires or all issues that arise from any litigation, claim, negotiation, audit, open records request, administrative review, or other action involving the contract or documents are resolved.		
5.1.017	AD.ca.003	Contract Log	FE+3		FE+3			

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



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 22 of 54

2. Agency Code	362	3. Agency Name					TEXAS LOTTERY COMMISSION				
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						

1.1.067	AD.ca.004	Contract Reports (general, internal and external, including Legislative Budget Board and lobbyists).	FE+3		FE+3				
5.3.007	AD.ca.005	Contract Procurement Files	AC+7		AC+7		AC= the contract is completed or expires or all issues that arise from any litigation, claim, negotiation, audit, open records request, administrative review, or other action involving the contract or documents are resolved.		
1.1.070	AD.pu.001	Purchasing Manual	AC+3		AC+3	R	AC=Completion or termination of program, rules, policies or procedures.		
4.5.003	AD.pu.002	Purchasing Reports	AC+6		AC+6				
5.3.007	AD.pu.004	Procurement Files – Authorized Purchase Request, Purchase Order(s), Bid Document (IFB, RFQ) Price Quotes, Bid Tabulation, Bid Specifications, Evaluation documentation, NRA/CBA, all bid responses and EPLS/Taxpayer Information.	FE+3		FE+3				

Retention Codes (Field 7)

AC – After Closed, Terminated, Completed, Expired, Settled
 AV – Administrative Value

CE – Calendar Year End
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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.

1. Page 23 of 54

2. Agency Code	362	3. Agency Name					TEXAS LOTTERY COMMISSION				
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						

5.3.008	AD.pu.005	Purchase File Logs	FE+3		FE+3				
	AD.pu.006	Bid Samples for Non-Winning Bids (i.e. promotional products)	AC		AC		AC=After award of bid is complete.		
1.1.065	AD.res.001	Research – Reports and Studies – Raw Data	AV		AV				
1.1.038	AD.res.002	Research – Surveys	AC+3	7	AC+10		AC=Final disposition of summary report. Paper for 3 years at agency. After that, electronic storage. TLC Offsite Storage.		
1.3.001	AD.pub.001	Publications	AC+3	2	AC+5		AC=Until superseded or obsolete. Copies submitted to Texas State Publications Depository Program. TLC Offsite Storage.		
1.3.002	AD.pub.002	Publications Development Files	FE+3		FE+3	R			
1.2.003	AD.pub.003	Interagency Memo head	AC+1		AC+1		AC=Discontinuance of use of form.		

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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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 24 of 54

2. Agency Code 362		3. Agency Name TEXAS LOTTERY COMMISSION							
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				

1.1.055	AD.pub.004	Strategic Plan	AC+6		AC+6	A	AC=September 1 of odd-numbered calendar years. Archives Note: The archival requirement is met by sending the required copies of the plans to the Texas State Library, Texas State Publications Clearing house		
1.1.069	AD.fa.111	Daily Activity Reports (includes incident reports)	FE+3		FE+3				
5.1.001	AD.fa.1127	Facility Lease Correspondence	AC+2	2	AC+4		AC=Expiration or termination of the instrument according to its term. TLC Offsite Storage.		
5.1.005	AD.fa.1102	Postage Expense Reports	FE	3	FE+3				
5.1.011	AD.fa.1129	Photo Copier Use Logs & Reports	AC		AC		AC=End of Contract.		
5.1.015	AD.fa.1101	Accountable Mail Center Logs (Including Cash Logs)	FE	2	FE+2		Seal Control, Courier Bags Seal, Hand Delivery, Certified Mail, Check and CD.		
5.2.003	AD.fa.1126	Building Remodeling and Construction Documents	AC+2	2	AC+4		AC=After Lease is concluded. TLC Offsite Storage.		

Retention Codes (Field 7)

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LA – Life of Asset
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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.

1. Page 25 of 54

2. Agency Code 362		3. Agency Name TEXAS LOTTERY COMMISSION							
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			Agency	Storage	Total				

5.2.006	AD.fa.1130	Property Destruction	FE+1	2	FE+3				
5.2.014	AD.fa.1128	Inventory – Annual Physical	FE+3		FE+3				
5.2.001	AD.fa.1128a	Asset Files (assignment of assets throughout the agency)	LA+3		LA+3				
5.3.008	AD.fa.1131	Receiving Files	FE+3		FE+3				
	AD.fa.1132	Shipping Records Files	FE+3		FE+3				
5.4.002	AD.fa.104	Evacuation Plans	US		US				
5.4.003	AD.fa.105	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.		
5.4.011	AD.fa.102	Visitor Control Registers (includes visitors, vendors and after-hour employees)	FE+3		FE+3				
5.4.012	AD.fa.1136	Facility Security (includes access system, CCTV, request for access forms, mechanical keys forms, alarm panel code forms & key acknowledgment forms)	AC+2		AC+2		AC=Until superseded, date of expiration, or date of termination, whichever sooner.		

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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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 26 of 54

2. Agency Code	362	3. Agency Name						TEXAS LOTTERY COMMISSION					
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								

5.6.003	AD.fa.1135	Inspection, Repair & Maintenance Records - Vehicles	LA+1		LA+1				
5.6.005	AD.fa.1134	Vehicle Use Reports (Mileage Reports and Operations Logs)	FE+3		FE+3				
5.2.003	AD.fa.1137	Building Plans and Specifications	AC+2		AC+2		AC=Termination or cancellation of lease.		
5.6.007	AD.fa.1138	Vehicle Titles and Registrations	LA		LA				
2.2.013	AD.ir.101	IGOS/OGOS Test Results – Instant Gaming and Online Gaming Online Systems	AC+1		AC+1		AC=No longer needed as an audit trail for any records modified.		
2.2.004	AD.ir.289	Computer Operations Disposition Logs (hardware, software or data)	10		10				
2.1.002	AD.ir.276	Automated Master Files (Examples include, but not limited to, data tables of relational databases)	FE+3		FE+3				
2.1.007	AD.ir.1279	Software for Voice Systems – Telecommunications Data (Call recording, configuration data, call logs and reports)	FE+1		FE+1				

<p>Retention Codes (Field 7)</p> <p>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</p>	<p>Archival Codes (Field 8)</p> <p>A – Transfer to State Archives R – Review by State Archivist</p>
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 27 of 54

2. Agency Code		362		3. Agency Name							TEXAS LOTTERY COMMISSION	
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				

2.1.007	AD.ir.353	Software, Programs & Command Procedures	AC+3		AC+3	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.		
2.1.008	AD.ir.288	Hardware Documentation	LA		LA			
2.1.009	AD.ir.328	PC LAN (Local Area Network) working papers, documentation, procedure on the LAN and PC	AC		AC	AC=Until electronic records are transferred to and made usable in a new hardware or software environment with new documentation or there are no electronic records being retained to meet an approved retention period that require the documentation to be retrieved and read. 13 TAC 6.94		
2.2.001	AD.ir.329	System Backups (LAN)	AC+90 days		AC+90 days	AC=Completion of 3 rd update cycle..		

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.

1. Page 28 of 54

2. Agency Code 362		3. Agency Name TEXAS LOTTERY COMMISSION							
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				

2.2.001	AD.ir.279	TPIS (Tax Payer Information System) and Voucher Files from GTECH	FE+3		FE+3				
2.2.004	AD.ir.283	Checklists/Daily Operator Packet	FE+3		FE+3				
2.2.011	AD.ir.278	ICS Input Transaction Files from GTECH: Master Journal File MJFDMP	FE+3		FE+3				
2.2.012	AD.ir.284	ICS Reports	FE+3		FE+3				
2.2.012	Ad.ir.287	Computer Operations Problem Detection Report (PDR)	FE+3		FE+3				
5.2.008	AD.ir.252	Equipment Information (service agreements, equipment trouble, service calls, computer reference logs)	LA+1		LA+1				
5.2.010	AD.ir.1276	Software Documentation	AC+3		AC+3				
5.4.011	AD.ir.007	Visitor Control Registers (Computer Rooms only)	CE+3		CE+3				
5.4.012	AD.ir.008	Information Service Request (ISR)	AC+3		AC+3		AC=Until superseded, date of expiration, or date of termination, whichever sooner.		

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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STATE OF TEXAS Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 29 of 54

2. Agency Code 362		3. Agency Name TEXAS LOTTERY COMMISSION							
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			Agency	Storage	Total				
5.4.013	AD.ir.001	Disaster Preparedness & Recovery Plan	US		US				
5.5.001	AD.ir.290	Billing Detail	FE+3		FE+3				
1.2.010	AD.ir.292	Electronic Records Purged List	10		10				

Retention Codes (<i>Field 7</i>)				Archival Codes (<i>Field 8</i>)	
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 30 of 54

2. Agency Code 362		3. Agency Name TEXAS LOTTERY COMMISSION							
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			Agency	Storage	Total				

LEGAL SERVICES DIVISION									
1.1.007	GC.001	Special Projects	AC+1	4	AC+5		AC=When project is completed. TLC Offsite Storage.		
1.1.007	GC.002	Correspondence – Administrative (division incoming/outgoing and internal correspondence)	AC	3	AC+3	R	AC=When file is closed. Formerly GC.004.	97-362-012	
	GC.003	Bankruptcy Files	AC+1	2	AC+3		AC=Resolution of matter. TLC Offsite Storage.		
1.1.011	GC.004	Rulemaking	US+2	3	US+5	A	TLC Offsite Storage.		
1.1.014	GC.006	Legal Opinions Advice (Intra-Agency Legal Opinions and Advice - Bingo Advisory Opinions)	AC+1	6	AC+7	R	AC=After case file is closed. TLC Offsite Storage.		
1.1.014	GC.007	Intra-Agency Legal Opinions and Advice (Attorney opinions from agency legal counsel. Permanent retention as determined by the TLC)	PM		PM	R	PM=Legal services will retain electronic form located on network drive.		
1.1.014	GC.008	Intra-Agency Legal Opinions and Advice (All other attorney opinions from agency legal counsel)	AC+3	7	AC+10	R	AC=After case file is closed.	98-362-015	

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.

1. Page 31 of 54

2. Agency Code 362		3. Agency Name TEXAS LOTTERY COMMISSION							
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			Agency	Storage	Total				

1.1.014	GC.009	Legal Opinions and Advice – Attorney General Opinions, Attorney General Decisions and Attorney General Rulings	AC+1	6	AC+7	R	AC= After case file is closed. Lottery and Bingo Matters. Office of Attorney General retains copies permanently.	98-362-014	
1.1.020	GC.or.010	Public Information Requests – Not Exempted	AC+1	1	AC+2		AC=Date request is fulfilled.	02-362-038	
1.1.021	GC.or.011	Public Information Requests – Exempted (OAG Decisions)	AC+1	2	AC+3		AC=Date of notification that records are exempt. TLC Offsite Storage.		
1.1.021	GC.or.012	Public Information Requests – Exempted (OAG Decisions/Contracts)	AC+1	1	AC+2		AC=Expiration of contract or date of notification that records are exempt, whichever is later. TLC Offsite Storage.		
	GC.014	Game Procedures	AC+1	4	AC+5		AC=Lapse of game.	09-362-062	
1.1.027	GC.015	Legislative Bill Analysis Files	AC+3yr 6MO		AC+3yr 6MO		AC=After legislative session adjourns sine die.		
1.1.048	GC.013	Litigation Files (permanent retention as determined by the TLC)	PM		PM		TLC Offsite Storage.		

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.

1. Page 32 of 54

2. Agency Code 362		3. Agency Name TEXAS LOTTERY COMMISSION							
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			Agency	Storage	Total				

1.1.048	GC.016	Litigation Files (all other litigation files)	AC+3	7	AC+10	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. Cases that set legal precedent or exhibit historical value will be evaluated by the Archives and Information Services Division of the Texas State Library and Archives Commission for archival preservation. Attorney-client privileged information.	97-362-013	
1.1.058	GC.017	Open Meetings Notice Agenda	PM		PM	A	Archives Note: Agency retains permanent record copy. The archival requirement will be met by sending a copy to the Archives and Information Services Division, Texas Library and Archives Commission.		
1.1.062	GC.018	Commission Meeting Notebooks - with General Counsel Notes))	CE+2		CE+2	A	GC will retain notebook which contains attorney/client information.		

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 33 of 54

2. Agency Code	362	3. Agency Name TEXAS LOTTERY COMMISSION							
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			Agency	Storage	Total				

1.1.072	GC.020	Public Information Reports – Open Records (Reports made to Attorney General's Office)	AC+2		AC+2	AC=After report is complete and remitted to Office of the Attorney General.		
1.1.073	GC.021	Administrative Hearing Files – Bingo	AC+1	4	AC+5	AC=Last action. The Legal Division reviews and selects for retention cases with historical value. These are maintained permanently at the agency.	98-362-027	
1.1.073	GC.022	Administrative Hearing Files – Lottery	AC+1	4	AC+5	AC=Last action. The Legal Division reviews and selects for retention cases with historical value. These are maintained permanently at the agency.	97-362-011	
4.5.005	GC.024	Financial Reports filed with Texas Ethics Commission (Agency personal financial statements)	FE+3		FE+3			
4.7.005	GC.025	Winner Claim Files (working files) – including Assignments, Payment Schedule	AC+3		AC+3	AC=After payments expire.		
5.1.001	GC.026	Contracts	AC	4	AC+4	AC=Expiration or termination of the instrument according to its term.	01-362-036	

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.

1. Page 34 of 54

2. Agency Code	362	3. Agency Name					TEXAS LOTTERY COMMISSION				
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5.3.007	GC.027	Procurements – Request for Proposal, Invitation for Bid, Request for Quote, Request for Offer	AC	4	AC+4	AC=After procurement is complete.	01-362-037	
	GC.028	Intellectual Property Files	AC+4	2	AC+6	AC=When file is closed. TLC Offsite Storage.		
	GC.029	Personnel Matters	AC+4	2	AC+6	AC=Resolution of matter. TLC Offsite Storage.		
1.1.026	GC.030	Texas Register Submissions	CE+1		CE+1			

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STATE OF TEXAS Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 35 of 54

2. Agency Code	362	3. Agency Name TEXAS LOTTERY COMMISSION							
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			Agency	Storage	Total				

GOVERNMENTAL AFFAIRS									
	GA.03	Public Officeholder Files	AC+3		AC+3	R	AC=After officeholder leaves public office.		
2.1.002	GA.04	Legislative Implementation System (LIS)	US		US				
2.1.002	GA.05	Orders Tracking Database (OTD) (Index Requirements-Hard copies maintained by Executive Division under Administrative Files.)	PM		PM				

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.

1. Page 36 of 54

2. Agency Code 362		3. Agency Name TEXAS LOTTERY COMMISSION							
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			Agency	Storage	Total				

HUMAN RESOURCES									
1.1.008	HR.906	Correspondence – General (Non-administrative incoming/outgoing and internal correspondence)	2		2				
1.1.023	HR.914	Organization Charts	US		US	A			
1.1.069	HR.908	Human Resources Status Reports	1		1				
3.1.001	HR.901	Employment Applications – Not Hired	1	1	2		29 CFR 1602.31. TLC Offsite Storage. These documents are included with item number 3.1.014.		
3.1.002	HR.902	Employment Applications - Hired (applications, resumes, transcripts and similar documents submitted by candidates for vacant positions as required).	AC+1	4	AC+5		AC=After employment separation, excluding pending litigation. Some information may be open. TLC Offsite Storage.		
3.1.020	HR.903	Personnel Corrective Action Documentation	AC+5		AC+5		AC=Termination of employment.		
3.1.006	HR.918	Employee Counseling Records	AC+1	2	AC+3		AC=Termination of employment. TLC Offsite Storage.		

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 37 of 54

2. Agency Code		362		3. Agency Name						TEXAS LOTTERY COMMISSION					
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	HR.915	Employee Insurance/Benefits	AC+1		AC+1	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 under 3.2.001.		
3.1.012	HR.907	Employment Opportunity Announcements	2		2	Maintained with selections records. 29 CFR 1602.31.		
3.1.014	HR.909	Employment Selections Files	2		2	29 CFR 1602.31. These documents are included with item number 3.1.001		
3.1.018	HR.905	Employee Complaints and Grievances	AC+1	2	AC+3	AC=Upon resolution, excluding pending litigation. TLC Offsite Storage.		
3.1.019	HR.919	Performance Appraisals	AC+3		AC+3	AC=Current completed appraisal plus three previous years. 29 CFR 1620.32(c)		
3.1.021	HR.920	Personnel Disciplinary Action Documentation	AC+5		AC+5	AC=Termination of employment.		

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				



STATE OF TEXAS Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 38 of 54

2. Agency Code	362	3. Agency Name TEXAS LOTTERY COMMISSION						
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		

3.1.022	HR.921	Personnel Information or Action Forms	AC+5		AC+5	29 CFR 1602.31 AC=After employment separation, excluding new hire and separation personnel action form.		
3.1.023	HR.922	Position/Job Description	AC	4	AC+4	AC=Until superseded or job eliminated. 40 TAC 815.106(i). TLC Offsite Storage.		
3.1.027	HR.923	Texas Lottery Employee Training	AC+1	4	AC+5	AC=After employment separation, excluding pending litigation. TLC Offsite Storage.		

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



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 39 of 54

2. Agency Code	362	3. Agency Name					TEXAS LOTTERY COMMISSION				
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						

3.1.029	HR.924	Employment Eligibility (I-9)	AC+1		AC+1	AC= After termination of employment. 8 CFR 274a.2(b)(2)(I)(A) and (c)(2). CAUTION: Federal regulation requires that INS I-9 forms be retained for 3 years from date of hire or 1 year after separation of the employee, whichever later. Agencies should make certain that the 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.		
3.1.037	HR.925	Employee Recognition Records	AC+5		AC+5	AC=Termination of Employment.		
3.1.038	HR.926	Public Access Option Form	US		US			
3.2.009	HR.927	State Deferred Compensation Records	AC+4	1	AC+5	AC=All accounts with a vendor or vendors for the individual participant have been closed. TLC Offsite Storage.		
3.2.010	HR.928	HRIS Reports/Documentation	AC+1	3	AC+4	AC=After completed. TLC Offsite Storage.		

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			



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 40 of 54

2. Agency Code		362		3. Agency Name TEXAS LOTTERY COMMISSION							
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			

3.3.010	HR.930	Labor Statistics Report	3	2	5	TLC Offsite Storage.		
3.3.011	HR.931	Former Employee Verification: Minimum information needed to verify employment includes employee name, social security number, exact date(s) of employment with TLC, last known address and phone number, beginning job classification title and salary, ending job classification title and salary, and most recent public access option form.	AC+75		AC+75	AC=Termination of employment. See item 3.1.038, Public Access Option Form.		
3.3.015	HR.932	Positions/Job Classification Review File	US+3		US+3			
3.3.020	HR.933	Work Schedules/Assignments	US+1		US+1			
3.3.022	HR.934	Texas Workforce Commission (TWC) Reports	3		3			
3.3.024	HR.935	Personnel Policies and Procedures	US+3		US+3			
3.3.026	HR.936	Agency Staffing Reports	US+3		US+3			
3.3.030	HR.937	Training Administration Records (instructions for in-house training)	US+2		US+2			

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
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 41 of 54

2. Agency Code 362		3. Agency Name TEXAS LOTTERY COMMISSION							
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				

3.3.031	HR.938	EEO Reports and Supporting Documents	3		3	29 CFR 1602.32, 1602.39, 1602.41, 1602.48 and 1602.50		
3.4.002	HR.943	Leave Status Reports	FE+3		FE+3			
3.4.006	HR.940	Time Cards and Time Sheets	1	3	4	Excluding pending litigation. 40 TAC §815.106(i). TLC Offsite Storage.		
3.4.008	HR.941	Sick Leave Pool Documentation	FE+3		FE+3			
3.1.031	HR.944	Employee Benefits – Other than Insurance (FMLA, Workers' Comp)	AC+2		AC+2	AC=After completed, expired or termination of employee.		
3.3.023	HR.945	Reimbursable Activities, Requests and Authorization to Engage in (Tuition Reimbursement)	FE+3		FE+3			

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.

1. Page 42 of 54

2. Agency Code	362	3. Agency Name TEXAS LOTTERY COMMISSION							
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				

INTERNAL AUDIT									
1.1.002	1A1	Internal Audit Working Papers	AC+3	4	AC+7		AC=Publication or release of final audit findings, or close of project. TLC Offsite Storage.		
1.1.002	1A2	Internal Audit Reports	PM		PM				
1.1.002	1A3	Other Audit Reports – Audits/Reviews conducted by entities other than Internal Audit	PM		PM				
1.1.008	1A7	General Administrative Records related to Internal Audit	FE+2		FE+2				

Retention Codes (Field 7)

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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.

1. Page 43 of 54

2. Agency Code	362	3. Agency Name TEXAS LOTTERY COMMISSION							
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				

LOTTERY OPERATIONS									
	OP.adm.306	End of Game Reconciliation Report	AC+5		AC+5		AC=Reconciliation is completed after end of game.		
1.1.069	OP.adm.307	Reports – Activity (Status Reports)	3		3				
4.1.002	OP.adm.300	GTECH Invoices	AC+4		AC+4		AC=After expiration or termination of the instrument according to its terms.		
	OP.adv.777	Promotions Files (contracts, event summaries, sponsorships, reports)	2	3	5			01-362-030	
	OP.adv.778	Promotional Ticket Files (Requests, Logs)	2	3	5			08-362-059	
	OP.adv.676	Advertising Jobs & Files (Final ads TV, radio, print, outdoor, POS, online etc.)	FE+5		FE+5				
4.1.002	OP.adv.677	Billing (Advertising Agency-Production, Print & Broadcast Jobs)	FE+1	4	FE+5			96-362-003	
1.1.067	OP.adv.678	Advertising Services Vendor Contractual Reports	FE+5		FE+5				
	OP.pd.001	Executed Working Papers (Instant Product)	AC+5		AC+5		AC=Game End of Validation Date.		
	OP.pd.002	End of Product Prize Structure (Instant Product)	AC+5		AC+5		AC=Game End of Validation Date.		

Retention Codes (Field 7)

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 AV – Administrative Value

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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.

1. Page 44 of 54

2. Agency Code 362		3. Agency Name TEXAS LOTTERY COMMISSION							
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				

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.
	OP.pd.003	Trademark Letter (Instant Product)	AC+5		AC+5		AC=Game End of Validation Date.		
1.1.067	OP.pd.004	Game Close Summary Report (Instant Product)	AC+5		AC+5		AC=Game End of Validation Date.		
	OP.pd.005	Game Procedures (Instant Product)	AC+5		AC+5		AC=Game End of Validation Date.		
1.1.069	OP.pd.006	Instant Product Game Release Checklist	AC+5		AC+5		AC=Game End of Validation Date.		
	OP.pd.007	Instant Product Miscellaneous Correspondence	AC		AC		AC=Game End of Validation Date.		
	OP.pd.008	Mega Millions Jackpot Estimation Documents	3		3				
	Op.pd.009	Mega Millions Retailer Bonus Files	AC+5		AC+5		AC=When the bonus is paid.		
	OP.pd.010	Draw Game Clerk/Player Promotion Files	5		5				
1.1.067	OP.pd.011	Draw Game Files/Reports	3		3				
	OP.pd.012	New Draw Game Development	AC+5		AC+5		AC=When game is closed.		
	OP.pd.013	Draw Game Certified Mail – Retailer Bonus Letters	3		3				
1.1.067	OP.pd.014	Lotto Statistics Reports	3		3				
1.1.067	OP.pd.015	Mega Millions Statistics Reports	3		3				

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



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 45 of 54

2. Agency Code	362	3. Agency Name TEXAS LOTTERY COMMISSION							
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				

	OP.pd.016	Cash Five Retailer Bonus Files	AC+5		AC+5		AC=When the bonus is paid.		
	OP.pd.017	Texas Two Step Retailer Bonus Files	AC+5		AC+5		AC=When the bonus is paid.		
	Op.pd.018	Lotto Texas Retailer Bonus Files	AC+5		AC+5		AC=When the bonus is paid.		
	OP.pd.019	Lotto Texas Jackpot Estimation Documents	3		3				
	OP.pd.020	Texas Two Step Jackpot Estimation Documents	3		3				
	OP.pd.21	Winner Processing Files	AC+3		AC+3		AC=After last payment date.		
	OP.pd.22	Powerball Jackpot Estimation Documents	3		3				
	OP.pd.23	Powerball Statistics Reports	3		3				
	OP.pd.24	Powerball Retailer Bonus Files	AC+5		AC+5		AC=When the bonus is paid.		
	OP.pd.25	Instant Product Game Plan – Planning Documents	3		3				
1.1.008	OP.cc.1186	Claim Center General Correspondence	2		2				
	OP.cc.1177	Non-winning Claims (Tickets received that do not contain a winning combination or prize)	AC+1	4	AC+5		AC=Form letter mailed advising ticket is not a winner.	01-362-032	

Retention Codes (Field 7)

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 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.

1. Page 46 of 54

2. Agency Code	362	3. Agency Name TEXAS LOTTERY COMMISSION							
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				

	OP.cc.1178	Non-paying Claims (Claims/tickets not processed/approved for payment)	AC+1	4	AC+5		AC=Claimant is mailed letter regarding reason their ticket(s) will/cannot be paid.	01-362-033	
	OP.cc.1180	Unvalidated Claims	AC+1	4	AC+5		AC=Original claim form filed w/ticket.	01-362-034	
	OP.cc.1181	Validated Claims	AC+1	4	AC+5		AC=Original claim form filed with ticket. Claim filed/stored on the processing system. Closed payment.	01-362-035	
1.1.069	OP.cc.1182	Logs (Automated Claims Tracking System Logs, Office closure logs, unvalidated claims logs)	AC+1	4	AC+5		AC=Logs are closed at the end of the calendar year.	06-362-055	
	OP.cc.1183	Incomplete Claims	AC+1	4	AC+5		AC=End of validation of the ticket.	06-362-056	
1.1.069	OP.cc.1184	Unclaimed Property (Log of claims checks unclaimed by winners)	10		10				
1.1.010	OP.cc.1	Directives – any document that officially initiates, rescinds, or amends general claim center office procedures	US+1		US+1				
1.1.064	OP.cc.2	Section Performance Measure Documentation (working papers)	FE+3		FE+3				
1.1.069	OP.cc.3	Statewide Claim Center Statistical Report	FE+1		FE+1				
1.3.002	OP.cc.1187	Lottery Photo File (Photos of prize winners) and/or Security photos	5		5	R			

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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.

1. Page 47 of 54

2. Agency Code	362	3. Agency Name TEXAS LOTTERY COMMISSION							
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				

4.2.002	OP.cc.1188	Payment Receipts	FE+3		FE+3		Agency copy of receipts provided customers for payment received at Claim Centers.		
	OP.cc.1189	Visitor Control Registers (includes visitors, vendors and after-hour employees)	FE+3		FE+3				
1.1.069	OP.cc.5	Check Stock Reconciliation Log	FE+2		FE+2				
1.1.008	OP.cc.6	Check Stock Verification Memo	FE+2		FE+2				
1.1.007	OP.cs.1106	Customer Service Administrative Correspondence	4		4	R			
1.1.008	OP.cs.1107	Customer Service General Correspondence	2		2				
	OP.os.001	Ticket Reconstruction Requests	FE+3		FE+3				
1.1.067	OP.os.002	Ticket Testing Reports	AC+3		AC+3		AC=End of game date.		
1.1.048	OP.os.003	Investigation Case Files: Preliminary Forensic and Administrative (Opened by Security)	AC+5		AC+5		AC=Investigation completed.		
1.1.048	OP.os.004	Evidence Logbook	AC+5		AC+5		AC=Final item of evidence has related investigation closed.		
1.1.067	OP.os.005	Security Observations Reports	3		3				

Retention Codes (Field 7)

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 48 of 54

2. Agency Code 362		3. Agency Name TEXAS LOTTERY COMMISSION							
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				

	OP.os.006	Ticket Anomalies and Security Issues	US		US	Maintained as reference in the event of recurrence.		
1.1.069	OP.rs.001	Lottery Retailer ID Number Logs	PM		PM	This is an ongoing electronic log which must be maintained to avoid duplication of retailer numbers.		
1.1.056	OP.rs.003	ADA Inspection Reports	AC	3	AC+3	AC=Date of inspection. 28 CFR 35.105(c). The coversheet is paper and the pictures are in a graphic image burned on a CD ROM and attached to the paper cover report.	02-362-040	
1.1.067	OP.rs.005	Instant Ticket Reports	AC	3	AC+3	AC=Until Instant Game reconciled. TLC Offsite Storage.		
	OP.rs.006	Pack Transfers	AC	3	AC+3	AC=After game reconciled. TLC Offsite Storage.		
5.1.015	OP.rs.007	Certified Mail Logs	FE+2		FE+2			
	OP.rs.008	End of Game Reconciliation (working papers – non fiscal)	AC	3	AC+3	AC=End of Game. TLC Offsite Storage.		

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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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 49 of 54

2. Agency Code	362	3. Agency Name					TEXAS LOTTERY COMMISSION				
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						

	OP.rs.011	Weekly Reports (License & Accounting Recap Sheets)	AC		AC	AC=All verification requirements have been met. Paper copies use for weekly spot verification of information stored electronically.		
1.1.064	OP.rs.012	Section Performance Measures Documentation	FE+3		FE+3			
1.1.064	OP.rs.13	Performance Measures Documentation (working papers)	FE+3		FE+3			
1.1.069	OP.rs.009	File Creation Report – R0580 (Electronic Funds Transfer sweep amount)	CE+2		CE+2			
4.7.003	OP.rs.010	Certified/Write-Off Files (Documentation of retailer activity on bad debt which have been certified to the OAG's office)	AC+5		AC+5	AC=After written off as bad debt.		
	OP.rs.448	Contacts (potential complaints awaiting required paperwork within 30 days.)	AC+90 days		AC+90 days	AC=No paperwork received after 30 days.		

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 50 of 54

2. Agency Code	362	3. Agency Name TEXAS LOTTERY COMMISSION							
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				

	OP.rs.478	Lottery Retailer License Applications – Electronic (includes inventory return forms, renewal applications, electronic fund transfer forms, duplicate finger print cards, CD correspondence and miscellaneous correspondence).	AC	3	AC+3	AC=Upon termination of the Lottery License, and a final balance due of \$0. The Image File contains all forms and correspondence with a retailer that has been scanned into the document imaging system. Paper record destroyed 6 months after converting to electronic storage.		A1
	OP.rs.502	Retailer Accounting Files (includes Enforcement and Bankruptcy files)	AC	1	AC+1	AC=No longer active/zero balance. Formerly OP.ra.501.	00-362-029	
	OP.rs.426	End of Game Ticket Destruction Verification	AC+5		AC+5	AC=Upon destruction of the tickets.		
	OP.rs.442	Texas Lottery Returned Tickets and Roll Stock (completed form)	AC+2		AC+2	AC=Returned tickets and roll stock destruction.		
	OP.rs.503	Retailer Financial Statements (electronic)	FE+7		FE+7			
	OP.rs.504	Retailer Services Lottery Investigation Case Files (Administrative and Criminal)	AC+1	4	AC+5	AC=After case closed. Electronic and hard copy files.		
1.1.007	OP.dwt.112	Administrative Correspondence – Drawings	3	1	4	TLC Offsite Storage.		

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 51 of 54

2. Agency Code 362		3. Agency Name TEXAS LOTTERY COMMISSION							
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				

1.1.067	OP.dwt.100	Independent Auditor Lottery Monthly Drawing Reports	1	2	3		Formerly S.dwt.100. TLC Offsite Storage		
	OP.dwt.103	Drawings Checklists (Lotto, Pick 3, All or Nothing, Cash Five, Texas Two Step, Lotto Texas, Mega Millions/Megaplier and Powerball.)	AC	2	AC+2		AC=181 days. Formerly S.dwt.103. . TLC Offsite Storage		
1.1.067	OP.dwt.104	Cumulative Drawing Report	3		3				
	OP.dwt.101	Ball Set Weight Documents (Internal and External)	1	2	3		TLC Offsite Storage.		
	OP.dwt.102	Independent Statistician Files	2	2	4		TLC Offsite Storage.		
	OP.dwt.105	Video Draw Records (Official Draw Records –Broadcast Production/Morning, Day, Evening, Night, DVD, ADM A/ADM B VHS, AIT Data and LTO Tapes)	AC+2	3	AC+5		AC=180 days/expiration of prize claim period. TLC Offsite Storage.		
	OP.dwt.106	Security Draw Tapes (Mega Millions CD/DVD, Powerball CD/DVD, Business Resumption Plan Drawing Tapes/- Video Cards, Mini DV and Mini DVD	AC+1	1	AC+2		AC=180 days/expiration of prize claim period. TLC Offsite Storage.		
	OP.dwt.110	Ball Set and Machine Test Results	AC+2	3	AC+5		AC=When balls are replaced. TLC Offsite Storage.		

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.

1. Page 52 of 54

2. Agency Code	362	3. Agency Name					TEXAS LOTTERY COMMISSION				
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						

	OP.dwt.111	Miscellaneous Drawing Tapes (Training, Testing, Maintenance, Special Projects, Interviews)	2	1	3	TLC Offsite Storage.		
	OP.dwt.113	Retailer Incentive Drawing Documents (All entries, winning entries, disqualified entries, alternate entries, checklist, draw report and media records)	6 MO		6 MO	TLC onsite storage for winning entries, disqualified entries, alternate entries and media records.		
	OP.dwt.114	Internet Entry Promotional Second Chance Drawings and Second Chance Drawings – Checklist and Video Card	6 MO		6 MO	TLC onsite storage for checklist and video cards.		

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			



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 53 of 54

2. Agency Code	362	3. Agency Name TEXAS LOTTERY COMMISSION							
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				

ENFORCEMENT									
1.1.067	ENF.100	Texas Crime Information Compliance Review	3		3				
	ENF.101	Background Check on TLC Vendors Employees	AC+1		AC+1		AC=The criminal history record has served the immediate purpose for which it was obtained.		
	ENF.102	Background Check on non-hired TLC Vendor Employees	AC		AC		AC=After non-hired decision has been made.		
	ENF.103	Background Check on TLC Vendors (Principals, Officers, Directors)	AC+4		AC+4		AC=After expiration or termination of contract.		
	ENF.104	Background Check on Lottery Operator Vendor Employees	AC+1		AC+1		AC=After expiration or termination of contract.		
	ENF.105	Background Check on Non-Hired or Terminated Lottery Operator Vendor Employees	AC		AC		AC=After notification of separation or non-hiring decision.		
3.1.026	ENF.106	Background Investigation Case Files on TLC hired or non-hired employees.	AC		AC		AC=The investigation has served the immediate purpose for which it was conducted.		A1
	ENF.107	Investigation Case Files: Lottery & Bingo (Administrative & Criminal)	AC+1	4	AC+5		AC=After case closed.	98-362-026	

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.

1. Page 54 of 54

2. Agency Code 362		3. Agency Name TEXAS LOTTERY COMMISSION							
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				

1.1.064	ENF.108	Performance Measures Documentation (Working Papers)	FE+3		FE+3			
1.1.069	ENF.109	Reports (Texas Data Exchange TDEX Use Report, Accurint, Driver's License Image Retrieval DLIR Use Report, Background Investigation Reports Reviews, Prepaid Credit Card Use Report, TNCIC and NCIC Databases Access Report.)	FE + 1		FE + 1			
4.1.001	ENF.110	GTECH Reimbursement Requests	FE+3		FE+3			
4.6.002	ENF.111	Live Ticket Reconciliations	FE+3		FE+3			
4.7.002	ENF.112	Imprest Account Records	FE+4		FE+4			

Retention Codes (Field 7)	Archival Codes (Field 8)
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PM – Permanent US – Until Superseded	