

May 31, 2023



Angela Zgabay-Zgarba
Administration Director
Texas Lottery Commission
1801 N. Congress Avenue,
Austin, Texas, 78701

Dear Angela Zgabay-Zgarba ,

Amendment 1 of the 7th recertification of your agency's records retention schedule is approved for use as of **5/30/2023** and may be accessed on our website at <https://www.tsl.texas.gov/slrn/state/schedules>. 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 rules (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:

Rebecca Hanna
512-463-5494
rhanna@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

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TSLAC

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 Angela Zgabay-Zgarba

Name (Print or type) Angela Zgabay-Zgarba

Date 10/05/2022

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, Date fields with a diagonal watermark reading 'Not Required at This Time'

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

Signature, Name, Date fields with handwritten entries: Signature (Gloria McPaz), Name (Gloria McPaz), Date (5-30-2023)

Cert/Recert No. 7 Amendment No. 1

CAUTION

A state record with an expired retention period 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 with a retention period that 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.

Amendment Note: If this schedule is amended at any point after certification, updated records series will be indicated by an asterisk (*) preceding the Agency Item Number (AIN).

State and Local Records Management Division
Texas State Library and Archives Commission
(Rev. 7/20)





STATE OF TEXAS
Records Retention Schedule

SLR 105
 Rev. 2021-07

Retention Codes (field 7)

AC – See field 9 for specific records series definition
 AV – Administratively valuable
 CE – Calendar year end
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 US – Until Superseded

Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
 R/O – Review by State/University Archivist
 E – Exempt from archival review and transfer

1. Agency Code: 362		2. Agency Name: State 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
					Years	Months	Days				
COMMON RECORDS											
CR.001	1.1.007	Correspondence-Administrative	Division incoming /outgoing and internal correspondence.	FE	4				R	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. ARCHIVES NOTE: Only the administrative correspondence of executive staff, board or commission members, division directors and program heads require archival review.	
CR.002	1.1.008	Correspondence-General	Non-administrative incoming /outgoing and internal correspondence.	CE	2						
CR.003	1.1.013	Calendars, Appointment and Itinerary Records		CE	1				R	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. 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.	



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CR.004	1.1.057	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.)	AC				AC=Purpose of records has been fulfilled.		CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).		
CR.005	3.1.006	Employee Counseling Records	Supervisor's informal records	AC	3			AC=Termination of counseling.				
CR.006	1.1.063	Staff Meeting Minutes and Notes	Minutes or notes and supporting documentation taken at internal agency staff meetings.	FE	2							
CR.007	1.1.063	Business/Directors Meeting Notes		CE	3							
CR.008	1.1.064	Agency Performance Measures Documentation		FE	3					Any records 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.		
ADMINISTRATION												



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AD.pp.001	1.1.070	Directives, Policies and Procedures – Final	Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects. Includes working files and related documentation used in creating rules, policies, and procedures.	AC	3			AC=Completion or termination of program directives, policies or procedures.	R		
AD.rr.001	1.2.001	Destruction Authorizations		FE	3					Final disposition of records either by destruction or transfer to State Archives.	
AD.rr.003	1.2.005	Records Retention Schedule		US						Original is filed with TSLAC.	
AD.rr.004	1.2.006	Records Transmittal Forms		AV	2					AV=Final disposition of records either by destruction or transfer to State Archives.	
AD.rr.005	1.2.010	Records Disposition Logs			10						
AD.rr.007	1.2.012	Records Inventory Worksheet		US							
AD.hub.001	1.1.043	HUB Training Materials		US	1						
AD.hub.002		HUB Documentation Outreach/Mentor Protégé Program		FE	3						
AD.hub.003	1.1.066	Annual Minority Business Participation Reports		AC	6			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.	
AD.hub.004	1.1.065	Raw Data - Statewide HUB Report	Data provided to CPA for Statewide HUB Report	AC	6			AC=September 1 of odd numbered years.			
AD.hub.005	4.5.002	Internal HUB Reports		FE	5						



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AD.ca.001	5.1.001	Lottery Operator Incident Reports		AC	7			AC=After expiration or termination of the contract with the lottery operator according to its terms.				
AD.ca.002	5.1.001	Contracts and Leases – 9/1/2015 and After	Includes performance bonds, compliance reports, business subcontracting documentation, monthly subcontracting reports and correspondence.	AC	7			AC=After expiration or termination of the instrument according to its terms.				
AD.ca.004	5.1.017	Contract Reports	General, internal and external, including Legislative Budget Board and lobbyists).	FE	3							
AD.ca.005	5.3.007	Contract Procurement Files		AC	7			AC=Expiration or termination of the instrument according to its terms or decision not to proceed with the bid.				
AD.pu.001	1.1.070	Purchasing Manual		AC	3			AC=After expiration or termination of the instrument according to its terms.	R			
AD.pu.002	4.5.002	Purchasing and Fiscal Management Reports		FE	5							
AD.pu.007	5.3.007a	Purchase Order and Bid Documentation - 9/1/2015 and After	Includes bid requisition /authorizations, invitations to bid or propose, bid specifications, awarded and unawarded bids, bid tabulation /evaluations and purchase orders. Associated with a contract executed, renewed, or amended on or after September 1, 2015.	AC	7			AC= Expiration or termination of the instrument according to its terms or decision not to proceed with the bid.			SB20 (84 th Leg.)	
AD.pu.005	5.3.008	Purchase File Logs		FE	3							
AD.pu.006		Bid Samples for Non-Winning Bids	(i.e. promotional products)	AC				AC=After award of bid is complete.			SB20 (84 th Leg.)	



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*OP.pub.001	1.3.001	Publications		AC	5			AC = Until superseded or obsolete		CAUTION: Many state publications must be submitted to the Texas State Publications Depository Program, Texas State Library and Archives Commission, by law (Government Code, 441.103-441.105). The Texas State Library and Archives Commission will retain a copy of all state publications submitted to it on a continuing basis, subject to periodic evaluation to determine if the publication merits further retention. For additional information and requirements concerning state publications made available to the public through the internet, consult the administrative rules of the Texas State Publications Depository Program of the Texas State Library and Archives Commission (13 TAC §§3.1-3.8).	
*OP.pub.002	1.3.002	Publications Development Files	Digital and physical development and design files used to create Texas Lottery publications, web and social media graphics, including but not limited to background material, copy (drafts), artwork, proofs, prints, etc. This includes all work performed both inside and outside the agency.	FE	3				R	See RSIN 1.3.001 for final State Publications created from development files. ARCHIVES NOTE: Successive and substantive drafts of major publications may be archival. Major is defined by both the publication's authorship and its impact on Texas and Texans. Original artwork, including photo prints and negatives that have significant value as evidence of agency programs as well as the potential for re-use, may be archival.	



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*OP.pub.003	1.2.003	Forms History and Maintenance	Example: Interagency Memo Head	AC	2			AC = Until Superseded or Discontinuance of use of form.			C AD.pub.003	
*OP.pub.004	1.1.055	Strategic Plan		AC	6			AC = September 1 of odd numbered calendar years.		ARCHIVES NOTE: The final version of Strategic Plans must be submitted to the Texas State Publications Depository Program per 13 TAC 3.3(a)(2)(C). Working files and related documentation used in creating the final plan are not subject to archival review and may be disposed of at the expiration of the retention period.		
AD.fa.102	5.4.011	Visitor Control Registers	Includes visitors, vendors and after-hour employees.	FE	3							
AD.fa.104	5.4.002	Evacuation Plans		US								
AD.fa.105	5.4.003	Inspection Records	Fire, safety, and other inspection records of agency facilities and equipment, including orders issued by inspectors to correct deficiencies in compliance with any code or regulations.	AC	3			AC=Inspection, or date of the correction of the deficiency if the inspection report reveals a deficiency.				
AD.fa.1101	5.1.015	Accountable Mail Center Logs	Seal Control, Courier Bags Seal, Hand Delivery, Certified Mail, Check and CD.	FE	2					Including Cash Logs		
AD.fa.1102	5.1.005	Postage Expense Reports		FE	3							
AD.fa.111	1.1.069	Incident Reports		FE	3							
AD.fa.1126	5.2.003b	Building Plans and Specifications – Leased	Includes architectural and engineering drawings, profiles, and blueprints of planning, design, construction, conversion, or modernization of leased facilities, structures, infrastructure, and systems.	AC	2			AC= Termination or cancellation of lease according to its terms.				
AD.fa.1127	5.1.001	Facility Lease Correspondence	Executed, renewed, or amended on or after September 1, 2015.	AC	7			AC=Expiration or termination of the instrument according to its term.				



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AD.fa.1127a	5.1.001	Facility Lease Correspondence	Executed, renewed, or amended on or before August 31, 2015.	AC	4			AC=Expiration or termination of the instrument according to its term.			
AD.fa.1128	5.2.006	Inventory – Physical Inventory and Property Control	Records documenting the inventorying, maintenance, usage, and disposal of supplies, equipment, and property of a state agency. Includes lost, stolen, and damage reports.	FE	3						
AD.fa.1128a	5.2.006	Equipment Inventory Detail Report Forms - Asset Files	Assignment of assets throughout the agency.	FE	3						
AD.fa.1130	5.2.006	Property Destruction		FE	3						
AD.fa.1131	5.3.008	Receiving Files		FE	3						
AD.fa.1132	5.3.004	Shipping Records Files		FE	3						
AD.fa.1134	5.6.005	Vehicle Use Reports	Mileage Reports and Operations Logs	FE	3						
AD.fa.1135	5.6.003	Inspection, Repair & Maintenance Records - Vehicles		LA	1						
AD.fa.1136	5.4.012	Facility Security	Includes access system, CCTV, request for access forms, mechanical keys forms, alarm panel code forms & key acknowledgment forms.	AC	2			AC=Until superseded, date of expiration, or date of termination, whichever sooner.			
AD.fa.1138	5.6.007	Vehicle Titles and Registrations		LA							
AD.ir.001	5.4.013	Disaster Preparedness & Recovery Plan		US							
AD.ir.007	5.4.011	Visitor Control Registers	Computer Rooms only	CE	3						
AD.ir.008	2.2.017	Information Service Requests (ISR) - System Security Access Records	Helpdesk tickets to add, change or modify access to agency systems	AC	2			AC=Until superseded, date of expiration, or date of termination, whichever sooner.			
AD.ir.009	2.2.017	Information Service Requests (ISR) - System Modification Requests	System Modification Request	AC				AC= Until date of termination of Software application			
AD.ir.101	2.2.013	IGOS/OGOS Test Results	Instant Gaming and Online Gaming Online Systems	AC	1			AC=No longer needed as an audit trail for any records modified			



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AD.ir.252	5.2.008	Equipment Information	Service agreements, equipment trouble, service calls, computer reference logs.	LA	3							
AD.ir.278	2.2.011	ICS Input Transaction Files	Received from Lottery Operator Vendor. Security for Powerball only.	FE	3					Master Journal File, MJFDMP		
AD.ir.279	2.2.001	Tax Payer Information System(TPIS) and Voucher Files	Received from Lottery Operator Vendor	FE	3							
AD.ir.283	2.2	Checklists/Daily Operator Packet		FE	3							
AD.ir.284	2.2	ICS Reports		FE	3							
Ad.ir.287	2.2	Computer Operations Problem Detection Report (PDR)		FE	3							
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	
AD.ir.329	2.2.001	System Backups (LAN)		AC				90 AC=Completion of 3rd update cycle				
AD.ir.353	2.1.007	Software, Programs & Command Procedures		AC				AC=Until electronic records are transferred to and made usable in a new software environment or there are no electronic records being retained to meet an approved retention period that require the software to be retrieved and read.			13 TAC 6.94	



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AD.ir.1279	2.1.007	Software for Voice Systems – Telecommunications Data	Call recording, configuration data, call logs and reports	FE	1							
AD.ir.1280	5.1.011	Photo Copier Use Logs & Reports		AC				AC=End of Contract.				
EXECUTIVE												
EX.001	1.1.010	Directives		US	1							
EX.003	1.1.013	Travel Itineraries		CE	1				E	Exempt per Archives		
EX.004	1.1.013	Calendars, Appointment & Itinerary Records		CE	1				E	Exempt per Archives		
EX.005	1.1.058	Commission Meeting Agenda & Minutes	Transcripts	PM					A	Copy to Archives; Legal has copy & ASCII disk.		
EX.006	1.1.059	Meeting, Certified Agendas (Commission meeting), Closed		AC	2			AC=The date of the meeting or completion of pending action involving the meeting, whichever is later.		Legal has electronic copy.	Govt. Code §551.104(a)	
EX.007	1.1.062	Meetings-Supporting Documentation	Commission meeting notebooks		2				A			
EX.008	1.1.063	Agency Staff Meeting agenda			1							
EX.009	5.1.015	Correspondence Tracking Logs			3							
EX.010	3.1.039	Ombudsman Records	Consultation records, notes, letters, memos, emails, reports, and other documentation.	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							



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EX.012	1.1.007	Correspondence-Administrative	Division incoming/outgoing and internal correspondence.		4				R	ARCHIVES NOTE: Only the administrative correspondence of executive staff, board or commission members, division directors and program heads require archival review. Contact the State Archive when these records have met their retention periods.	
EX.013	1.1.008	Correspondence-General	Non-administrative incoming/outgoing and internal correspondence.		4						
EX.014	1.1.040	Speeches, Papers & Presentations		AC	2			AC= End of event, until superseded, or obsolete.	R	ARCHIVES NOTE: Only speeches, papers, and presentations given by or on behalf of executive staff, board or commission members, division directors and program heads require archival review.	
EX.015	1.1.063	Executive Director meeting agendas and notes	Includes Business meetings and Directors' meetings.		1						
EX.016		Witness Affirmation Forms	Commission meetings	PM							
LEGAL SERVICES DIVISION											
GC.001		Special Projects		AC	5			AC=When project is completed.			
GC.002	1.1.007	Correspondence – Administrative		AC	4			AC=When file is closed. Formerly GC.004.	R	Division incoming/outgoing and internal correspondence.	
GC.003		Bankruptcy Files		AC	3			AC=Resolution of matter.			
GC.004	1.1.011	Rulemaking		US	5				A		
GC.006	1.1.014	Legal Opinions Advice	Intra-Agency Legal Opinions and Advice - Bingo Advisory Opinions	AC	7			AC=After case file is closed.	R		
GC.007	1.1.014	Intra-Agency Legal Opinions and Advice	Attorney opinions from agency legal counsel. Permanent retention as determined by the TLC.	PM					R	PM=Legal services will retain electronic form located on network drive.	
GC.008	1.1.014	Intra-Agency Legal Opinions and Advice	All other attorney opinions from agency legal counsel.	AC	10			AC=After case file is closed.	R		
GC.009	1.1.014	Legal Opinions and Advice –	Attorney General Opinions, Attorney General Decisions and Attorney General Rulings	AC	7			AC= After case file is closed. Lottery and Bingo Matters.		Office of Attorney General retains copies permanently.	



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					Years	Months	Days					
GC.013	1.1.048	Litigation Files	Cases regarding agency policy and procedures. These cases do not involve tort, contract or lottery ticket issues, nor bingo or lottery enforcement cases. See GC.016	PM					R	Permanent retention as determined by the TLC. Not all litigation is retained permanently. Significant litigation and litigation involving issues likely to come up in the future is retained permanently, as determined by the General Counsel. Other litigation is not retained permanently.		
GC.014		Game Procedures		AC	3			AC=Game End of Validation Date				
GC.015	1.1.027	Legislative Bill Analysis Files		AC	3	6		AC=After legislative session adjourns sine die.				
GC.016	1.1.048	Litigation Files	All other litigation files	AC	10			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.	R	Not all litigation is retained permanently. Significant litigation and litigation involving issues likely to come up in the future is retained permanently, as determined by the General Counsel. Other litigation is not retained permanently. 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.		
GC.017	1.1.058	Open Meetings Notice Agenda		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.		
GC.018	1.1.062	Commission Meeting Notebooks - with General Counsel Notes		CE	2				A	GC will retain notebook which contains attorney/client information.		



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GC.020	1.1.072	Public Information Reports – Open Records	Reports made to Attorney General’s Office	AC	2			AC=After report is complete and remitted to Office of the Attorney General.				
GC.021	1.1.073	Administrative Hearing Files – Bingo		AC	5			AC=Last action.		The Legal Division reviews and selects for retention cases with historical value. These are maintained permanently at the agency.		
GC.022	1.1.073	Administrative Hearing Files – Lottery		AC	5			AC=Last action.		The Legal Division reviews and selects for retention cases with historical value. These are maintained permanently at the agency.		
GC.024	4.5	Financial Reports filed with Texas Ethics Commission	Agency personal financial statements	FE	3							
GC.025	4.7.005	Winner Claim Files	Including Assignments, Payment Schedule, Working files.	AC	3			AC=After payments expire.				
GC.026	5.1.001	Contracts		AC	7			AC=Expiration or termination of the instrument according to its term.				
GC.027	5.3.007	Procurements	Request for Proposal, Invitation for Bid, Request for Quote, Request for Offer	AC	7			AC=Expiration or termination of the instrument according to its terms or decision not to proceed with the bid.				
GC.028		Intellectual Property Files		AC	6			AC=When file is closed.				
GC.029	3.1.020	Personnel Matters		AC	6			AC=Resolution of matter.				
GC.030	1.1.026	Texas Register Submissions		AC	1			AC=Date of publication in the Texas Register.				
GC.031	1.1.053	Representation Before State Agencies Forms		AC	1			AC=Report filed with the Texas Ethics Commission.			TGC §2004.004 requires each state agency to file a report each quarter with the Texas Ethics Commission.	
GC.032	1.1.011	Orders Tracking Database (OTD)		PM					A	A copy of the OTD must be provided to TSL each time a transfer of GC.033 occurs.		



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GC.033	1.1.011	Executive Orders	Any document that initiates, rescinds, or amends a regulation, policy or procedure that governs the programs, services or projects of an agency.	PM					A	Case file in Legal; copy to Archives. A copy of the OTD (GC.032) must be provided to TSL each time a transfer occurs.		
GC.or.010	1.1.020	Public Information Requests – Not Exempted		AC	2			AC=Date request is fulfilled.				
GC.or.011	1.1.021	Public Information Requests – Exempted (OAG Decisions)		AC	3			AC=Date of notification that records are exempt.				
GC.or.012	1.1.021	Public Information Requests - Exempted	OAG Decisions/Contracts	AC	2			AC=Expiration of contract or date of notification that records are exempt, whichever is later.				
MEDIA RELATIONS												
MR.127	1.1.040	Speeches, Papers and Presentations		AC	2			AC= End of event, until superseded, or obsolete.	R	ARCHIVES NOTE: Only speeches, papers, and presentations given by or on behalf of executive staff, board or commission members, division directors and program heads require archival review.		
MR.128	1.1.019	Public Relations Records - Media Productions	Winners News Conferences, Promotional Videos, etc.	FE	2				R			
MR.129	1.1.019	News Releases	Video & Electronic	FE	2				R			
MR.130	1.1.060	Meetings, Audio or Videotapes of Open Meetings		AC			90	AC=Official approval of written minutes of the meeting by the governing body of an agency.				
MR.132	1.1.038	Customer Surveys	Surveys soliciting feedback from customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC	2			AC= Final disposition of summary report, or date of decision not to produce a report, as applicable.				
MR.133	1.1.019	News Clips		PM					R			
GOVERNMENTAL AFFAIRS												
GA.03		Public Officeholder Files		AC	3				R	AC=After officeholder leaves public office.		
GA.04	1.1.027	Legislative Implementation System (LIS)	Internal tracking and implementation system for legislation impacting the agency.	AV								



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Lottery Operations											
OP.adm.300	4.1.001	Lottery Operation Vendor Invoices		AC	4			AC=After expiration or termination of the instrument according to its terms.			
*OP.rs.306		End of Game Reconciliation Report		AC	5			AC = Reconciliation is completed after end of game			
OP.adv.676		Advertising Jobs & Files	Final ads TV, radio, print, outdoor, POS, online etc.	FE	5						
OP.adv.677	4.1.001	Billing	Advertising Agency-Production, Print & Broadcast Jobs	FE	5						
OP.adv.678		Advertising Services Vendor Contractual Reports		FE	5						
OP.adv.777	4.1.001	Promotions Files	Contracts, Letter of Agreements & Proof of Performance	AC	7			AC=The contract is completed or expires.			
OP.adv.778		Promotional Ticket Files	Requests, Logs	FE	5						
OP.adv.779		Promotional Product Files	Work orders & pre-pros	FE	5						
OP.pd.001		Executed Working Papers		AC	5			AC=Game End of Validation Date.			
OP.pd.002		End of Product Prize Structure		AC	5			AC=Game End of Validation Date.			
OP.pd.003		Trademark Letter		AC	5			AC=Game End of Validation Date.			
OP.pd.004		Game Close Summary Report (Instant Product)		AC	5			AC=Game End of Validation Date.			
OP.pd.005		Game Procedures (Instant Product)		AC	5			AC=Game End of Validation Date.			
OP.pd.006	1.1.069	Instant Product Game Release Checklist		AC	5			AC=Game End of Validation Date.			
OP.pd.007		Instant Product Miscellaneous Correspondence		AC	5			AC=Game End of Validation Date.			
OP.pd.008		Mega Millions Jackpot Estimation Documents		CE	3					CE=Calendar Year End	
OP.pd.009		Mega Millions Retailer Bonus Files		AC	5			AC=When the bonus is paid.			



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OP.pd.010		Draw Game Clerk/Player Promotion Files		CE	5					CE=Calendar Year End	
OP.pd.011		Draw Game Files/Reports		CE	3					CE=Calendar Year End	
OP.pd.012		New Draw Game Development		AC	5			AC=When game is launched.			
OP.pd.016		Cash Five Retailer Bonus Files		AC	5			AC=When the bonus is paid.			
OP.pd.017		Texas Two Step Retailer Bonus Files		AC	5			AC=When the bonus is paid.			
OP.pd.018		Lotto Texas Retailer Bonus Files		AC	5			AC=When the bonus is paid.			
OP.pd.019		Lotto Texas Jackpot Estimation Documents		CE	3					CE=Calendar Year End	
OP.pd.020		Texas Two Step Jackpot Estimation Documents		CE	3					CE=Calendar Year End	
OP.pd.021		Winner Processing Files		AC	3			AC=After last payment date.			
OP.pd.022		Powerball Jackpot Estimation Documents		CE	3					CE=Calendar Year End	
OP.pd.024		Powerball Retailer Bonus Files		AC	5			AC=When the bonus is paid.			
OP.pd.025		Instant Product Game Plan – Planning Documents		FE	3						
OP.pd.026		Transitory Information	Draft working paper documents and communications	AC				AC=After final working papers are executed			
OP.pd.027		Scratch Ticket Color Proofs and Press Sheets		AC	3			AC=Game end of validation date			
OP.pd.028		Fulfillment Tracking System Winners Files		AC	3			AC=Game end of validation date			
OP.pd.029		Scratch Ticket Retailer Bonus Files		AC	5			AC=When the bonus is paid			
*OP.pd.030		Luck Zone User Accounts	User accounts in the Luck Zone containing user profile details and ticket entry history.	AC	2			AC = Last recorded history/ sign in to the user's account			
*OP.pd.031		Luck Zone Promotions	Promotions set up in the Luck Zone containing all programmed promotion details and ticket entry history.	AC	2			AC = Final draw date of the Promotion			



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OP.cc.001	1.1.010	Directives	Any document that officially initiates, rescinds, or amends general claim center office procedures.	US	1						
OP.cc.002	1.1.064	Section Performance Measure Documentation (working papers)		FE	3						
OP.cc.003	1.1.069	Statewide Claim Center Statistical Report		FE	1						
OP.cc.005	1.1.069	Check Stock Reconciliation Log		FE	2						
OP.cc.006	1.1.008	Check Stock Verification Memo		FE	2						
OP.cc.1177	4.7.005	Non-winning Claims	Tickets received that do not contain a winning combination or prize.	AC	5			AC=Form letter mailed advising ticket is not a winner			
OP.cc.1178	4.7.005	Non-paying Claims	Claims/tickets not processed/approved for payment.	AC	5			AC=Claimant is mailed letter regarding reason their ticket(s) will/ cannot be paid			
OP.cc.1180	4.7.005	Unvalidated Claims		AC	5			AC=Original claim form filed w/ticket			
OP.cc.1181	4.7.005	Validated Claims		AC	5			AC=Original claim form filed with ticket. Claim filed/stored on the processing system. Closed payment			
OP.cc.1182	1.1.069	Logs	Automated Claims Tracking System Logs, Office closure logs, unvalidated claims logs.	AC	5			AC=Logs are closed at the end of the calendar year			
OP.cc.1183	4.7.005	Incomplete Claims		AC	5			AC=End of validation of the ticket			
OP.cc.1184	1.1.069	Unclaimed Property	Log of claims checks unclaimed by winners.		10						
OP.cc.1186	1.1.008	Claim Center General Correspondence			2						
OP.cc.1187	1.3.002	Lottery Photo File (Photos of prize winners) and/or Security photos			5				E	Exempt per Archives	



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OP.cc.1188	4.1.001	Accounts Payable Information - Payment Receipts	Agency copy of receipts provided customers for payment received at Claim Centers.	FE	3						
OP.cc.1189	5.4.011	Visitor Control Registers	Includes visitors, vendors and after-hour employees.	FE	3						
OP.cs.1106	1.1.007	Customer Service Administrative Correspondence			4				R		
OP.cs.1107	1.1.008	Customer Service General Correspondence			2						
OP.os.001		Ticket Reconstruction Requests		FE	3						
OP.os.002		Ticket Testing Reports		AC	3			AC=End of validation date.			
OP.os.003	1.1.048	Investigation Case Files	CAMP cases for Preliminary, Forensic, Administrative, and Report Analysis investigations.	AC	5			AC=After case is closed.			
OP.os.004	1.1.048	Evidence Logbook		AC	5			AC=Final item of evidence has related investigation closed.			
OP.os.005		Security Observations Reports	CAMP cases for Claim Center Review, Drawing Observation, Second Chance Drawing, Retailer Incentive Drawing, Site Visit, Ticket Destruction, and Video Observation.	AC	3			AC=After case is closed.			
OP.rs.003	1.1.056	ADA Inspection Reports	The inspection report and all associated documents and graphic images are uploaded to CAMP for tracking and storage.	AC	3			AC=Date of inspection.			28 CFR 35.105(c).
OP.rs.007	5.1.015	Certified Mail Logs		FE	2						
OP.rs.008		End of Game Reconciliation		AC	3			AC=End of Game			
OP.rs.009	1.1.069	File Creation Report – R0580	Electronic Funds Transfer sweep amount.	CE	2						
OP.rs.010	4.7.003	Certified/Write-Off Files	Documentation of retailer activity on bad debt which have been certified to the OAG's office.	AC	5			AC=After written off as bad debt.			
OP.rs.012	1.1.064	Section Performance Measures Documentation		FE	3						



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OP.rs.13	1.1.064	Performance Measures Documentation (working papers)		FE	3						
OP.rs.426		End of Game Ticket Destruction Verification		AC	5			AC=Upon destruction of the tickets.			
OP.rs.442		Texas Lottery Returned Tickets and Roll Stock	Completed Form	AC	2			AC=Returned tickets and roll stock destruction.			
OP.rs.448		Contacts	Potential complaints awaiting required paperwork within 30 days.	AC			90	AC=No paperwork received after 30 days.			
OP.rs.449		Camp Complaint Cases	Electronic and Paper	AC	5			AC=Case close date			
OP.rs.478		Lottery Retailer License Applications	Electronic files which includes inventory return forms, renewal applications, electronic fund transfer forms, duplicate finger print cards, CD correspondence and miscellaneous correspondence.	AC	3			AC=Upon termination of the Lottery License, and a final balance due of \$0. Paper record destroyed 6 months after converting to electronic storage.	Paper record destroyed 6 months after converting to electronic storage.	To be compliant with the Fair Credit Reporting Act (FCRA).	
OP.rs.502		Retailer Accounting Files	Includes Enforcement and Bankruptcy files.	AC	1			AC=No longer active/zero balance.	Formerly OP.ra.501.		
OP.rs.503		Retailer Financial Statements	Electronic	FE	7						
OP.rs.504		Retailer Services Lottery Investigation Case Files (Administrative and Criminal)	Electronic and hard copy files.	AC	5			AC=After case closed.			
OP.rs.505	1.1.065	Research – Reports and Studies	Raw Data	AV							
OP.rs.506	1.1.038	Research – Surveys		AC	5			AC=Final disposition of summary report.	Paper for 3 years at agency. After that, electronic storage.		
OP.dwt.100		Independent Auditor Lottery Monthly Drawing Reports			3						
OP.dwt.101		Ball Set Weight Documents	Internal and External - TDA, Certified Lab		3						
OP.dwt.102		Independent Statistician Files			4						



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OP.dwt.103		Drawings Checklists	Daily 4, Pick 3, All or Nothing, Cash Five, Texas Two Step, Lotto Texas, Mega Millions /Megaplier and Powerball.	AC	2			AC=181 days.				
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.				
OP.dwt.106		Security Draw Tapes	Mega Millions CD/DVD, Powerball CD/DVD, Business Continuity Plan Drawing Tapes/Video Cards, Mini DV and Mini DVD	AC	2			AC=180 days/expiration of prize claim period.				
OP.dwt.110		Ball Set and Machine Test Results		AC	5			AC=When balls are replaced.				
OP.dwt.111		Miscellaneous Drawing Tapes	Training, Testing, Maintenance, Special Projects, Interviews.		3							
OP.dwt.112		Drawing Entry Logs and Records	Door Entry Control Logs, Ball Seal Logs, Safe Seal Logs, RNG Seal Logs, Microscopic Logs, Weekly Draw Machine Maintenance Logs Records		4							
OP.dwt.113		Retailer Incentive Drawing Documents	All entries, winning entries, disqualified entries, alternate entries, checklist, draw report, media records and USBs.			6				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, Video Card and USBs		2					TLC onsite storage for checklist and video cards. Winning entries on USB drives maintained by TLC, Lottery Operator and Independent Auditor.		
LOTTERY OPERATION VENDOR												
OP.lav.001	1.1.057	Refresher Training	Original paper copy only	AC		6		AC=Purpose of records has been fulfilled.		Electronic record in ES Retailer Services.		
OP.lav.002	1.1.057	District Training Logs	Original paper copy only	AC		6		AC=Purpose of records has been fulfilled.		Electronic record in ES Retailer Services.		
OP.lav.003	1.1.057	Self Service Equipment Install/Training	Original paper copy only	AC		6		AC=Purpose of records has been fulfilled.		Electronic record in ES Retailer Services.		



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OP.lav.004	1.1.057	Request for Self Service Equipment	Original paper copy only	AC		6		AC=Purpose of records has been fulfilled.		Electronic record in ES Retailer Services.	
OP.lav.008	1.1.057	Clerk Voucher Rep Signature Log for Receipt of Promotional Items	Original paper copy only	AC		6		AC=Purpose of records has been fulfilled.			
OP.lav.009	1.1.057	System Generated Clerk Vouchers	Original paper copy only	AC		6		AC=Purpose of records has been fulfilled.			
OP.lav.010		Texas Lottery Return Checklist and Paperwork	Original paper copy only	AC	3			AC=Purpose of records has been fulfilled.			
OP.lav.011		Equipment Removal Form	Original paper copy only	AC	3			AC=Purpose of records has been fulfilled.			
OP.lav.012		Roll stock Return Form	Original paper copy only	AC	3			AC=Purpose of records has been fulfilled.			
OP.lav.013		Instant Ticket Return Receipts		AC	3			AC=Purpose of records has been fulfilled.		TLC Maintains Original	
OP.lav.014		Manual Instant Ticket Return Form		AC	3			AC=Purpose of records has been fulfilled.		TLC Maintains Original	
OP.lav.015		Prize Receipt Signature Forms/Logs	Top selling Retailer Rewards, Cowboys/Texans Tickets – (original paper copy only)	AC	5			AC=Purpose of records has been fulfilled.			
OP.lav.016		Pack Promotion Packing Slip	Copy	AC	5			AC=Purpose of records has been fulfilled.		TLC Maintains Original	
OP.lav.017		Event Promotional Ticket Packing Slip	Copy	AC	5			AC=Purpose of records has been fulfilled.		TLC Maintains Original	
OP.lav.022		Event Promotional Ticket Request and Delivery Verification Form	Copy	AC	5			AC=Purpose of records has been fulfilled.		TLC Maintains Original	
OP.lav.025	2.1.002	Master Journal File	Transaction Records	FE	10						
OP.lav.026	1.1.057	Transitory Information	Draft working paper documents and communications.	AC				AC=Purpose of records has been fulfilled.			
Internal Audit											
1A1	1.1.002	Internal Audit Working Papers		AC	7			AC=Publication or release of final audit findings.			
1A2	1.1.002	Internal Audit Reports		AC	7			AC=Publication or release of final audit findings.			
1A3	1.1.002	Other Audit Reports	Audits/Reviews conducted by entities other than Internal Audit	AC	7			AC=Publication or release of final audit findings.			



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1A7	1.1.008	General Administrative Records related to Internal Audit		FE	2						
OFFICE OF CONTROLLER											
OC.1.1.001	1.1.002	Audits	Performed by External Auditors or Internal Auditors.	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.	
OC.1.1.002	1.1.004	Legislative Appropriations Request (LAR)	Includes supporting documents created and/or used to support request.	AC	6			AC=September 1 of odd-numbered calendar years.		ARCHIVES NOTE: The final version of Legislative Appropriation Requests must be submitted to the Texas State Publications Depository Program per 13 TAC 3.3(a)(3)(A). Working files and related documentation used in creating the final plan are not subject to archival review and may be disposed of at the expiration of the retention period.	
OC.1.1.003	1.1.067	Reports and Studies	Non-Fiscal		3				R		
OC.1.1.004	1.1.068	Reports on Performance Measures		AC	6			AC=September 1 of odd-numbered calendar years.			
OC.3.2.001	3.2.001	Employee Deduction Authorizations	Includes union dues, prepaid tuition, charitable deductions, savings bonds, credit union, and garnishments, etc.	AC	4			AC=After termination of employee or after amendment, expiration, or termination of authorization, whichever is sooner.			
OC.3.2.002	3.2.003	Federal Tax Records	Includes FICA, 1099, W2 and other tax records.	AC	4			AC=Tax due date, date the claim is filed, or date tax is paid, whichever is later.		26 CFR 31.6001-1(e)(2)	
OC.3.2.003	3.2.005	W-4 Forms		AC	4			AC=Until superseded, obsolete, or upon separation of employee.		26 CFR 31.6001-1(e)(2)	
OC.3.2.004	3.2.006	Wage Rate Tables	Comptrollers Salary Charts, Comptrollers Time Schedules		2					29 CFR 516.6(a)(2)	
OC.3.2.005	3.2.007	Unemployment Compensation Records	TWC quarterly reports	AC	5			AC=End of payroll calendar (Nov. 30)			



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					Years	Months	Days				
OC.3.2.006	3.2.008	Direct Deposit Application/Authorization		AC				AC=All accounts with a vendor, vendors or employees for the individual participant have been closed or the employee has terminated employment.			
OC.3.2.007	3.2.009	State Deferred Compensation Records	401K, 457		5						
OC.3.3.001	3.3.026	Agency Monthly Staffing Reports	Position Charts	US	3						
OC.4.1.001	4.1.001	Accounts Payable Information	Aging Reports, Logs, Major Vendor List, AP/GL, other AP related reports Claims; invoices; statements; copies of checks and purchase orders; expenditure authorizations; ledgers; encumbrance, purchase, general journal, expenditure and special vouchers; and similar records that serve to document disbursements, including those documenting claims for and reimbursement to employees for travel and other expenses.	FE	3						
OC.4.1.002	4.8.001	Cancelled Checks/Stubs /Warrants/Drafts		FE	3						
OC.4.1.003	4.9.001	Encumbrance Detail		FE	3						
OC.4.1.004	4.1.006	Investment Transaction Files		FE	5						
OC.4.1.005	4.9.001	Transfer or Budget Revisions		FE	3						
OC.4.1.006	4.8.001	Electronic Funds Transfers	Weekly sweeps, ACH payment	FE	3						
OC.4.2.001	4.8.001	Cash Deposit Vouchers	Including cash deposit slips	FE	3						
OC.4.2.002	4.1.001	Encumbrance Vouchers		FE	3						
OC.4.2.003	4.1.001	Purchase Vouchers		FE	3						
OC.4.2.004	4.1	General Journal Vouchers		FE	3						
OC.4.2.005	4.1	Expenditure Vouchers	Travel, Payroll, etc.	FE	3						
OC.4.3.001	4.1	Sales Journals or Registers		FE	3						



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OC.4.3.002	4.1.009	Receipts Journals or Registers		FE	3						
OC.4.3.003		Expenditure Journal or Registers		FE	3						
OC.4.4.001	4.1	General and Subsidiary Ledger	Retailer Adjustment Reports, automated GL Reports	FE	3						
OC.4.4.002	4.1.009	Accounts Receivable Ledgers		FE	3						
OC.4.4.003	4.1.001	Accounts Payable Ledgers		FE	3						
OC.4.4.004	4.1.006	Employee Savings Bond Ledgers		FE	5						
OC.4.5.001	4.5.002	Worksheets for Preparing Fiscal Reports		FE	5						
OC.4.5.002	4.5.002	Internal Fiscal Management Reports	Monthly Budget Reports	FE	5						
OC.4.5.003	4.5.003	Annual Financial Reports (AFR)	Required by the General Appropriations Act	AC	6			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.	
OC.4.5.004	4.5.002	External Fiscal Reports		FE	5						
OC.4.5.005	4.9.001	Annual Operating Budgets		FE	3					Required by the General Appropriations Act	
OC.4.5.006	4.5.007	USAS Reports – Daily		AC				AC=Receipt and reconciliation of monthly reports.			
OC.4.5.007	4.5.007	USAS Reports – Monthly		AC				AC=Receipt and reconciliation of annual reports.			
OC.4.5.008	4.5.009	USAS Reports – Annual		FE	3						
OC.4.6.001	4.1	Reconciliations		FE	3						
OC.4.7.001	4.8.001	Bank Statements	Prize Payment Account Bank Reconciliation & supporting documents (prize checks & debt set-off, Travel Advance Account Reconciliation & supporting documents).	FE	4					Check information on diskette from Bank.	



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OC.4.7.002	4.7.003	Returned Checks/ Warrants /Drafts	Uncollectible	AC	3			AC=After deemed uncollectible.			
OC.4.7.003	4.7.004	Capital Asset Records		LA	3						
OC.4.7.004	4.7.005	Claim Files – Winner Files	Treasury Investment Schedule, Winner Personal/ Financial Data/Assignments, Payment Schedule, wire letters, Reimbursement Voucher from Treasury.	AC	3			AC=After payments expire.			
OC.4.7.005		Detail Chart of Accounts	One for all accounts in use for a fiscal year.	FE	3						
OC.4.7.006	4.7.012	Signature Authorizations	Signature card information sent to the Bank, signatures with TTSTC, signature with CPA, all other.	AC	4			AC=Until superseded, date of expiration, or termination of employee, whichever is sooner.			
OC.9.9.001		Jackpot Estimation	Sales, game summary, online gaming reports, and ICS related reports.	FE	3				ICS=Internal Control System		
CHARITABLE BINGO											
CB.1202	4.1	Accounting Services Files	Quarterly Reports Forms, Quarterly Report Supplements, Records Reconciliation and Other Documents.	CE	4						TAC §402.500a
CB.1204	1.1.006	Complaint-Records	Complaints received by an agency from the public concerning the agency and records pertaining to the resolution of the complaint.	AC	2			AC = Final disposition of complaint.		Electronic Form	
CB.1205		Non-Regular Temporary Licenses	Paper and electronic forms	CE	2					Destroy hard copy after uploaded into BOSS and document repository and verified.	
CB.1207		Pull Tab/Bingo Paper Approval Files	Electronic form	AC	5			AC=Date of approval.			
CB.1209		Licensing Renewal Notices	Electronic form	FE	1					Destroy hard copy after uploaded into BOSS and document repository and verified.	
CB.1210		Worker Registry Applications	Applications, renewals, Schedule N3-change form	CE	4					CE=Calendar year end of data entry of application or form.	
CB.1212		Excess Pull Tabs		AC	3			AC = After product has been closed.			
CB.1214		Bingo Election Results	From elections held locally at county/city level; some maps included.	CE	10						



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					Years	Months	Days					
CB.1215	1.1.058	Bingo Advisory Committee Meeting Minutes	Official agenda and minutes of state boards, committee, commissions, and councils that conduct open meetings as required by Government Code, Chapter 551.	PM					R	Electronic per FY96 Archives Comments. Electronic located on website.		
CB.1218		Card Minding Logs	Electronic documents of electronic card minding systems and devices at bingo locations.	CE	4							
CB.1219		Electronic Device Testing	Reviewed testing documentation, communication and final letters.	AC	5			AC=When pull tab dispensers and card minding devices have been approved.		A consistent application of records retention rules with Pull-Tabs.		
CB.1220	4.1.009	Daily Cash Receipt Logs	Deposit: Daily Cash Receipts Log, and Daily Deposit Documentation. Refunds: Refund request packets and back up documentation.	FE	3					Paper copy destroyed after 6 months.		
CB.1221	1.1.038	Customer Service Surveys	Surveys returned by the customers or clients of an agency and the statistical data maintained rating an agency's performance.	AC	3			AC=Final disposition of summary report.		SEE item number 1.1.067 for summary reports compiled from customer surveys.		
CB.1222		Allocations	Back-up pre-allocation reports; Register totals, City and/or County Detail List.	FE	3							
CB.1223		BAC nominations and supporting documents		CE	3							



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CB.1224	1.1.066	Bingo Reports - Official	Narrative format distributed in accordance with statutory requirement.	AC	6			AC = September 1 of odd-numbered calendar years.	R	Paper and electronic forms. ARCHIVES NOTE: The final version of these agency reports must be submitted to the Texas State Publications Depository Program per 13 TAC 3.3. The requirement is met by sending the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission. Working files and related documentation used in creating the final report may be disposed of at the expiration of the retention period.	TEX. OCC. CODE §2001.060
CB.1224a	1.1.066	Bingo Reports - Unofficial		AC	6			AC = September 1 of odd-numbered calendar years.		Paper and electronic forms.	
CB.1225		Bingo Bulletin	Advisory notices, reminders and remarks.	CE	3						
CB.1226		Cash, Surety, or Security Bond Documentation	Forms, Certificates, Cash, Surety, and Security bond documentation, and Correspondence.	AC	4			AC = Bond is refunded or revoked.			
CB.1228		Active License Files	An active file would be an approved original application for a License and in active status in BOSS.	AC	4			AC = When a license becomes inactive.		Hard copy may be destroyed after uploaded into BOSS and document repository and verified.	
CB.1229		Camp Cases	Accounting, Licensing and Audit files (Electronic and Paper).	AC	7			AC = When a Camp Case is closed.			
CB.1230		Sample Pull Tabs		PM						Samples of each Pull Tab game.	
CB.a.1151	1.1.002	Audit Files and Inspections	Audits and inspections performed by or on behalf of CBOD.	AC	7			AC=Final disposition issue date.		Electronic and paper formats	
CB.a.1153		Bingo Training Program		FE	3						
ENFORCEMENT											
ENF.100		Texas Crime Information Compliance Review			3						



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ENF.101		Background Check on TLC Vendors Employees		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=After non-hired decision has been made.				
ENF.103		Background Check on TLC Vendors	Principals, Officers, Directors	AC	4			AC=After expiration or termination of contract.				
ENF.104		Background Check on Lottery Operator Vendor Employees		AC	1			AC=After expiration or termination of contract.				
ENF.105		Background Check on Non-Hired or Terminated Lottery Operator Vendor Employees		AC				AC=After notification of separation or non-hiring decision.				
ENF.106	3.1.026	Background Investigation Case Files on TLC hired or non-hired employees.		AC				AC=After notification of separation or non-hiring decision.				
ENF.107		Investigation Case Files: Lottery & Bingo	Administrative & Criminal	AC	5			AC=After case closed.				
ENF.108	1.1.064	Performance Measures Documentation	Working Papers	FE	3							
ENF.109	1.1.069	Reports	Texas Data Exchange TDEX Use Report, Accurant, 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							
ENF.110	4.1.001	Lottery Operation Vendor Reimbursement Requests		FE	3							
ENF.111	4.1	Live Ticket Reconciliations		FE	3							
ENF.112	4.8.001	Imprest Account Records		FE	4							
HUMAN RESOURCES												



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HR.902	3.1.002	Employment Applications - Hired	Applications, resumes, transcripts and similar documents submitted by candidates for vacant positions as required.	AC	5			AC=After employment separation, excluding pending litigation. Some information may be open.			
HR.903	3.1.020	Personnel Corrective Action Documentation		AC	5			AC=Termination of employment.			
HR.905	3.1.018	Employee Complaints and Grievances		AC	2			AC=Upon resolution, excluding pending litigation.			
HR.906	1.1.008	Correspondence – General	Non-administrative incoming/outgoing and internal correspondence.		2						
HR.907	3.1.012	Employment Opportunity Announcements			2					Maintained with selections records.	29 CFR 1602.31
HR.909	3.1.014	Employment Selections Files	Includes employment applications for those not hired	AC	2			AC= Date of the making of the record or the personnel action involved, whichever occurs later			29 CFR 1602.31
HR.914	1.1.023	Organization Charts		US					A		
*HR.915	3.1.011	Employee Insurance/Benefits	Agency copies of information relating to the selection by employees of life, disability, health, vision, dental, and other types of insurance or benefits offered by the State of Texas to its employees.	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.	
HR.918	3.1.006	Employee Counseling Records		AC	3			AC=Termination of employment.			
*HR.919	3.1.019	Performance Appraisals		AC	2			AC = End date of current evaluation or termination of employment.			29 CFR 1620.32(c)
HR.920	3.1.021	Personnel Disciplinary Action Documentation		AC	5			AC=Termination of employment.			
HR.921	3.1.022	Personnel Information or Action Forms		AC	2			AC=After employment separation, excluding new hire and separation personnel action form.			29 CFR 1602.31
HR.922	3.1.023	Position/Job Description		AC	4			AC=Until superseded or job eliminated.			40 TAC 815.106(i).



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HR.923	3.1.027	Texas Lottery Employee Training		AC	5			AC=After employment separation, excluding pending litigation.			
HR.924	3.1.029	Employment Eligibility (1-9)		AC	1			AC= After termination of employment.	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.	8 CFR 274a.2(b)(2)(1)(A) and (c)(2).	
HR.925	3.1.037	Employee Recognition Records		AC	5			AC=Termination of Employment.			
HR.926	3.1.038	Public Access Option Form		US							
HR.927	3.2.009	State Deferred Compensation Records		AC	5			AC=All accounts with a vendor or vendors for the individual participant have been closed.			
HR.928	3.2	HRIS Reports/Documentation		AC	4			AC=After completed.			
HR.930	3.3.010	Labor Statistics Report			3						
HR.931	3.3.011	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=Termination of employment.	See item 3.1.038, Public Access Option Form.		
HR.932	3.3.015	Positions/Job Classification Review File		US	3						
HR.933	3.3.020	Work Schedules/Assignments		US	1						



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HR.934	3.3.022	Texas Workforce Commission (TWC) Reports			3						
HR.935	3.3.024	Personnel Policies and Procedures		US	3						
HR.936	3.3.026	Agency Staffing Reports		US	3						
HR.937	3.3.030	Training Administration Records	Instructions for in-house training.	US	2						
HR.938	3.3.031	EEO Reports and Supporting Documents			3						29 CFR 1602.32, 1602.39, 1602.41, 1602.48 and 1602.50
HR.940	3.4.006	Time Cards and Time Sheets			4					Excluding pending litigation. TLC Offsite Storage.	40 TAC §815.106(i).
HR.941	3.4.008	Sick Leave Pool Documentation		FE	3						
HR.943	3.4.002	Leave Status Reports		FE	3						
HR.944	3.1.011	Employee Benefits	Other than Insurance (FMLA, Workers' Comp).	AC	2			AC=After completed, expired or termination of employee.			
HR.945	3.3.023	Reimbursable Activities	Requests and Authorization to Engage in Tuition Reimbursement.	FE	3						
*HR.946	3.1.042	Employee Benefits	Insurance (ADA Accommodation Requests).	AC	2			AC = For employees, termination of employment; for job applicants who were not selected, date of application.			29 CFR 1602.31