



May 2, 2014

Ms. Antonia Antov  
Director, Administration and Finance  
Texas Savings and Mortgage Lending  
2601 N. Lamar Blvd., #201  
Austin, TX 78705

RE: Agency records retention schedule approved for use

Dear Ms. Antov:

Your agency's records retention schedule is approved for use as of April 15, 2014. Your currently approved records retention schedule is available on our website at <https://www.tsl.state.tx.us/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 Please ensure all old copies of the schedule are superseded with this recertified copy.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 triennially thereafter. The deadline for submission of your schedule for its next recertification is the last working day of **April 2017**.

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](mailto: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, Douglas B. Foster

State and Local  
Records Management

P.O. Box 12927  
Austin, Texas  
78711.2927

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[www.tsl.texas.gov](http://www.tsl.texas.gov)

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*Preserving yesterday,  
informing today,  
inspiring tomorrow.*

R01.450/450



Texas  
State Library  
and Archives  
Commission

# STATE OF TEXAS

## Records Retention Schedule Certification

BZ  
SLR 105C

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

### Section 1. Agency Information

(Submitting agencies complete this section only)

Agency Code 450

Agency Name TEXAS DEPT. OF SAVINGS AND  
MORTGAGE LENDING

(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 Douglas B Foster

Name (Print or type) DOUGLAS B FOSTER

Date 29 Oct. 13

### 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 E Sidenberg

Name (Print or type) \_\_\_\_\_

Date 04-15-14

Cert/Recert No. 8 Amendment No. —

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## 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 59

2. Agency Code	450	3. Agency Name Texas Department of Savings and Mortgage Lending							
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				

	M-1	<b>Master Files of Savings &amp; Loan Associations &amp; State Savings Banks Charters</b> Master files of Savings & Loan Associations and Savings Bank Charters	AC+0.5yrs+24.5 yrs	4.5yrs	AC+25	R	AC = File inactive date. Paper AC+6mos onsite + 4.5 yrs library; Electronic records onsite for 24.5 years after paper sent to library-total of 25 years.	05-450-022	
	M-1a	<b>Activity Logs - Thrift</b> Charter and application logs, paper and electronic.	AC+5	PM	PM	R	AC = Paper book is out of use. Transfer book to storage after 5 yrs at agy. Electronic record kept permanently at the agency.		
	M-1b	<b>Early Detection Model Report</b> Thrift charter quarterly reports.	AC+25		AC+25		AC = Last signature date on report. Electronic records only onsite.		
	M-1c	<b>Exam Workpapers – Thrift</b> Exam workpapers-Thrift	AC+15		AC+15		AC=Transmittal letter date. Electronic records only onsite.		
	M-1d	<b>Charter Application Files - Unapproved</b> Charter application files - withdrawn, rescinded, or denied.	AC+2	8	AC+10		AC = Last action date. Paper only. AC + 2 yrs onsite + 8 yrs library.	92-450-011	
	M-2	<b>Licensing Related Documentation</b> Correspondence related to specific license numbers, inactive, denied and withdrawn application forms.	AC+10		AC+10		AC = Date license is terminated, expired, surrendered or withdrawn. Electronic records only onsite.		
	M-3	<b>Enforcement Action Files</b> Legal files for enforcement/disciplinary actions or license denials.	AC+10		AC+10		AC = Date file closed. Paper AC+1yr onsite; electronic records 9 yrs onsite.		

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.*

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2. Agency Code	450	3. Agency Name Texas Department of Savings and Mortgage Lending							
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			

	M-3a	<b>Administrative Hearing Files</b> Hearing documents related to an enforcement action.	AC+10		AC+10	AC = Date file closed. Paper AC+1yr onsite; electronic records 9 yrs onsite.		
	M-4	<b>Consumer Complaints</b> Original complaint, investigation documents, reports and closing documents.	AC+10		AC+10	AC = Date file closed. Paper AC+1yr onsite; electronic records 9yrs onsite.		
	M-5	<b>Mortgage Exam Reports &amp; Related Correspondence</b> Examination reports, accompanying letters, and responses.	AC+10		AC+10	AC = Date report issued. Electronic records only onsite.		
	M-5a	<b>Exam Workpapers – Mortgage</b> Exam workpapers – Mortgage.	AC+5		AC+5	AC = Date report issued. Electronic records only onsite.		

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**Archival Codes (Field 8)**

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 R – Review by State Archivist



# STATE OF TEXAS

## Records Retention Schedule

**SLR 105**

*Form SLR 105C must accompany this form.*

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2. Agency Code	450	3. Agency Name Texas Department of Savings and Mortgage Lending						
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.
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1.1.002	A-1	<b>Audits</b> Audits and reviews performed by or on behalf of an agency, including the working papers that support the audit. Also includes audits performed on the agency.	AC + 7		AC + 7	AC = Publication or release of final audit findings. The State Auditor's Office retains any copies of its audits performed on Texas state agencies.		
1.1.004	A-2	<b>Legislative Appropriation Requests</b> Including any supporting documentation created and/or used to justify and support legislative appropriations requests by an agency.	AC + 6		AC + 6	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 Legislative Budget Board are archival.		
1.1.006	A-3	<b>Complaint Records</b> Complaints received by an agency from the public concerning the agency and records pertaining to the resolution of the complaint.	AC + 2		AC + 2	AC = Final disposition of the complaint.  CAUTION: If a complaint becomes the subject of litigation, it must be included in and is subject to the minimum retention period of item number 1.1.048.		

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## Records Retention Schedule

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*Form SLR 105C must accompany this form.*

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2. Agency Code	450	3. Agency Name Texas Department of Savings and Mortgage Lending						
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		

1.1.007	A-4	<p><b>Correspondence – Administrative</b> Incoming/outgoing and internal correspondence pertaining to the formulation, planning, implementation, interpretation, modification, or redefinition of the programs, services, or projects of an agency and the administrative regulations, policies, and procedures that govern them.</p>	4		4	R	<p>ARCHIVES NOTE: Only the administrative correspondence of executive staff, board or commission members, division directors and program heads require archival review. Contact the State Archives when these records have met their retention periods.</p> <p>CAUTION: This records series and item number 1.1.008 should be used only for correspondence that is not included in or directly related to another records series on the agency's approved schedule. For example, a memorandum that documents an appropriations request must be retained for the minimum retention period prescribed by item number 1.1.004; a letter concerning an audit for that prescribed by item number 1.1.002, etc. SEE ALSO item number 1.1.011.</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.*

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2. Agency Code	450	3. Agency Name Texas Department of Savings and Mortgage Lending							
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			

1.1.008	A-5	<b>Correspondence – General</b> Non-administrative incoming/outgoing and internal correspondence, in any media, pertaining to or arising from the routine operations of the policies, programs, services, or projects of an agency.	2		2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.		
1.1.010	A-6	<b>Directives</b> Any document that officially initiates, rescinds, or amends general office procedures.	US + 1		US + 1				
1.1.011	A-7	<b>Executive Orders</b> Any document that initiates, rescinds, or amends a regulation, policy, or procedure that governs the programs, services, or projects of an agency.	US + 3		US + 3	A			

Retention Codes (Field 7)	Archival Codes (Field 8)
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## Records Retention Schedule

**SLR 105**

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2. Agency Code	450	3. Agency Name Texas Department of Savings and Mortgage Lending							
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			

1.1.013	A-8	<p><b>Calendars, Appointment and Itinerary Records</b> Calendars, appointment books or programs and scheduling, or itinerary records, purchased with state funds or maintained by staff during business hours that document appointments, itineraries, and other activities of agency officials or employees.</p>	CE + 1		CE + 1	R	<p>ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the State Archives when these records have met their retention periods.</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>		
1.1.014	A-9	<p><b>Legal Opinions and Advice</b> From agency legal counsel or the Attorney General, including any requests eliciting the opinions.</p>	AV		AV	R	<p>CAUTION: Does not include legal opinions or advice rendered on a matter in litigation or with regard to pending litigation. SEE item number 1.1.048.</p>		

Retention Codes (Field 7)	Archival Codes (Field 8)
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## Records Retention Schedule

**SLR 105**

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2. Agency Code	450	3. Agency Name Texas Department of Savings and Mortgage Lending							
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			

1.1.019	A-10	<b>Public Relations Records</b> News, press releases, or any public relations files maintained or issued by an agency. Includes print, electronic, audio, and audiovisual records.	2	2	R			
1.1.020	A-11	<b>Public Information Requests - Not Exempted</b> Includes all correspondence and documentation relating to requests for records that are furnished to the public under Public Information Act (Chapter 552, Government Code).	AC + 1	AC + 1		AC = Date request fulfilled.		
1.1.021	A-11a	<b>Public Information Requests - Exempted</b> Includes all correspondence and documentation relating to requests for records that are exempt under the Public Information Act (Chapter 552, Government Code).	AC + 2	AC + 2		AC = Date of notification that records are exempt.		
1.1.023	A-12	<b>Organization Charts</b>	US	US	A			
1.1.024	A-13	<b>Plans and Planning Records</b> Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC + 3	AC + 3	R	AC = Decision made to implement or not to implement result of planning process.  ARCHIVES NOTE: Data processing planning records are not archival.		

Retention Codes (Field 7)	Archival Codes (Field 8)
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CE – Calendar Year End FE – Fiscal Year End	LA – Life of Asset MO – Months
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# STATE OF TEXAS

## Records Retention Schedule

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*Form SLR 105C must accompany this form.*

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2. Agency Code	450	3. Agency Name Texas Department of Savings and Mortgage Lending							
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			

1.1.026	A-15	<b>Texas Register Submissions</b> Copies of all proposed, withdrawn, emergency, and adopted rules; open meetings notices; or any other documents required by law to be submitted to the Texas Register.	AC + 1		AC + 1		AC = Date of publication in the Texas Register.		
1.1.027	A-16	<b>Proposed Legislation</b> Drafts of proposed legislation and related correspondence.	AV		AV				
1.1.038	A-17	<b>Customer Surveys</b> Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC		AC		AC = Final disposition of summary report. SEE item number 1.1.067 for summary reports compiled from customer surveys.		
1.1.040	A-18	<b>Speeches, Papers and Presentations</b> Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC		AC	R	AC = End of term in office or termination of service in a state position.		
1.1.041	A-19	<b>Suggestion System Records</b> Suggestions submitted by agency personnel and responses.	1		1				
1.1.043	A-20	<b>Training Materials</b> Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US + 1		US + 1				

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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**

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2. Agency Code	450	3. Agency Name Texas Department of Savings and Mortgage Lending							
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.
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1.1.048	AL(1)-21	<b>Litigation Files</b> Records created by or on behalf of an agency in anticipation of or in the adjudication of a lawsuit.	AC + 1		AC + 1	R	AC = As applicable, decision of an agency not to file a lawsuit or decision that a lawsuit will not be filed against it on a matter; dismissal of a lawsuit for want of prosecution or on motion of the plaintiff; or final decision of a court (or of a court on appeal, if applicable) in a lawsuit.  ARCHIVES NOTE: 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.	
1.1.053	A-22	<b>Registration Logs</b> Logs or similar records used to register persons appearing before state agencies as required by Chapter 2004, Government Code, including quarterly reports filed with the Texas Ethics Commission.	AC		AC		AC = Report filed with the Texas Ethics Commission.	

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

## Records Retention Schedule

**SLR 105**

*Form SLR 105C must accompany this form.*

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2. Agency Code 450		3. Agency Name Texas Department of Savings and Mortgage Lending						
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			
1.1.055	A-23	<b>Strategic Plans</b> Information resources and operational strategic plans prepared in accordance with 2054.095 and 2056.002, Government Code.	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 Publications Depository Program, Texas State Library and Archives Commission.	
1.1.056	A-24	<b>ADA (Americans with Disabilities Act) Documentation</b> Self evaluations and plans documenting compliance with the requirements of the Americans With Disabilities Act.	3		3		28 CFR 35.105(c).	

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## Records Retention Schedule

**SLR 105**

*Form SLR 105C must accompany this form.*

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2. Agency Code	450	3. Agency Name Texas Department of Savings and Mortgage Lending						
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	A-25	<p><b>Transitory Information</b> Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series.</p> <p>Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; telephone message notifications; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.</p>	AC		AC	<p>AC = Purpose of record 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 signoffs (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>		
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Retention Codes (Field 7)	Archival Codes (Field 8)
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## Records Retention Schedule

**SLR 105**

*Form SLR 105C must accompany this form.*

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2. Agency Code	450	3. Agency Name Texas Department of Savings and Mortgage Lending						
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		

1.1.058	A-26	<b>Meeting Agenda and Minutes</b> Official agenda and minutes of state boards, committees, commissions, and councils that conduct open meetings as required by Government Code, Chapter 551.	PM	PM	A	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 State Library and Archives Commission.  CAUTION: This records series and item numbers 1.1.059, 1.1.060, 1.1.061, and 1.1.062 must be used for those state boards, committees, commissions, and councils, which by law or the biennial Appropriations Act, are administered by another state agency. These records and all others related to the functions of any of these dependent entities must be included in the records retention schedule of the administering agency.	
1.1.059	A-27	<b>Meetings, Certified Agendas or Tape Recordings of Closed</b> Certified agendas or tape recordings of closed meetings of state boards, commissions, committees, and councils.	AC + 2	AC + 2		AC = The date of the meeting or completion of pending action involving the meeting, whichever is later.  Government Code, 551.104(a). SEE caution comment at item number 1.1.058.	

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## Records Retention Schedule

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2. Agency Code	450	3. Agency Name Texas Department of Savings and Mortgage Lending							
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			Agency	Storage	Total	9. Remarks			

1.1.060	A-28	<b>Meetings, Audio or Videotapes of Open</b> Audio or videotapes of open meetings of state boards, commissions, committees, and councils.	AC + 90 days		AC + 90 days	AC = Official approval of written minutes of the meeting by the governing body of an agency.  <b>CAUTION:</b> Minutes of state agencies are permanent records. Audio and videotapes are not permanent media. State agencies may not retain audio or videotapes of the meetings of governing bodies in lieu of written minutes. The proceedings of all meetings of state boards, committees, commissions, and councils must be reduced to writing. SEE caution comment at item number 1.1.058.		
1.1.061	A-29	<b>Meeting - Notes</b> Notes taken during open meetings of state boards, commissions, committees, and councils from which written minutes are prepared.	AC + 90 days		AC + 90 days	AC = Approval of the formal minutes by the governing body. SEE caution comment at item number 1.1.058.		

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## Records Retention Schedule

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2. Agency Code 450		3. Agency Name Texas Department of Savings and Mortgage Lending						
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			
1.1.062	A-30	<b>Meetings - Supporting Documentation</b> Documents submitted at meetings of state boards, commissions, committees, and councils including exhibit items, documentation for agenda items, etc. Includes documents sent in advance of meetings for briefing purposes, some of which may not be submitted at an actual meeting.	2		2	A	SEE caution comment at item number 1.1.058.	
1.1.063	A-31	<b>Staff Meeting Minutes and Notes</b> Minutes or notes, and supporting documentation, taken at internal agency staff meetings.	1		1			
1.1.064	A-32	<b>Agency Performance Measures Documentation</b> Any records of an agency needed for the documentation of output, outcome, efficiency, and explanatory measures in an agency's appropriations request or strategic plan, and for performance measures used to manage the agency.	FE + 3		FE + 3		CAUTION: The FE + 3 retention period overrides any shorter retention period for a records series in this schedule if the records series is needed for documentation of agency performance measures.	

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.*

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2. Agency Code	450	3. Agency Name Texas Department of Savings and Mortgage Lending						
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		

1.1.065	A-33	<b>Reports and Studies (Non-Fiscal) - Raw Data</b> Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV	AV		CAUTION: Does not include source documentation used for information or data included in or directly related to another records series in this schedule. SEE especially item number 1.1.064.		
1.1.066	A-34	<b>Reports - Biennial or Annual Agency (Narrative)</b> Biennial narrative reports to the governor and legislature as required by an agency's enabling statutes, including annual narrative reports if they are required by statute.	AC + 6	AC + 6	A	AC = September 1 of odd-numbered calendar years.  ARCHIVES NOTE: The archival requirement is met by sending the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission.		
1.1.067	A-35	<b>Reports and Studies (Non-Fiscal)</b> Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	3	R	ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, A, R, or E. SEE page ix for more information.		

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 **16** of **59**

2. Agency Code	450	3. Agency Name Texas Department of Savings and Mortgage Lending						
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		

1.1.068	A-35a	<b>Reports on Performance Measures</b> Quarterly and annual reports on agency performance measures submitted to executive and legislative offices.	AC + 6		AC + 6	AC = September 1 of odd-numbered calendar years.		
1.1.069	A-35b	<b>Reports - Activity</b> Reports compiled by agency personnel on a daily or other periodic basis pertaining to workload monitoring, task completion times, number of public contacts, and similar activities.	1		1	CAUTION: SEE item number 1.1.064.		
1.1.070	A-35c	<b>Agency Rules, Policies, and Procedures - Final</b> Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC + 3		AC + 3	R AC = Completion or termination of program, rules, policies, or procedures.  SEE ALSO Agency Rules, Policies and Procedures - Working Files, 1.1.071.		

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 **17** of **59**

2. Agency Code	450	3. Agency Name Texas Department of Savings and Mortgage Lending						
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			

1.1.071	A-35d	<b>Agency Rules, Policies, and Procedures - Working Files</b> Working files used in the development of manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC + 3		AC + 3	R	AC = Completion or termination of program, rules, policies, or procedures.  SEE ALSO Records Series Item Number 1.1.070.		
1.1.072	A-35e	<b>Public Information Reports</b> Reports made to the Office of the Attorney General on an agency's Public Information Act activities.	2		2				
1.1.073	A-36	<b>Administrative Hearings</b> Transcripts and final decisions of hearings conducted as part of the regulatory process, and hearings on proposed rules and changes. The records may be maintained with related information including meeting notices, proofs of publication, and meeting minutes.	AC + 3		AC + 3	R	AC = Last action.		
1.1.074	A-36b	<b>Sunset Review Report and Documentation</b>	AC + 3		AC + 3	R	AC = After the subsequent Sunset Review.		

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 **59**

2. Agency Code	450	3. Agency Name Texas Department of Savings and Mortgage Lending							
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			

1.1.075	A-36b	<b>Alternative Dispute Resolutions - Final Agreement</b> Final agreement described by Government Code 2009.054(c), associated with a matter conducted under an alternative dispute resolution procedure in which personnel of a state agency participated as a party on the agency's behalf.	AC + 4		AC + 4		AC = Date of final agreement. Texas Civil Practice and Remedies Code , Chapter 154.071.		
1.2.001	A-37	<b>Destruction Authorizations</b> Agency level documents authorizing final disposition of records under a certified records retention schedule.	FE + 3		FE + 3				
1.2.003	A-38	<b>Forms History File</b> Print masters of original version and all subsequent revisions to an agency form, including any associated design or design modification requests.	AC + 1		AC + 1		AC = Discontinuance of use of form.		
1.2.004	A-39	<b>Forms Inventory</b> Any periodic listing of all forms used internally or externally by an agency.	US		US				

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 **19** of **59**

2. Agency Code	450	3. Agency Name Texas Department of Savings and Mortgage Lending						
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		

1.2.005	A-40	<b>Records Retention Schedule (SLR 105)</b> Agency copy. Formerly RMD 105. Includes documentation of certification and approval - forms SLR 105C (formerly RMD 105C), and/or other forms designated by the State Records Administrator.	US		US	Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission.		
1.2.006	A-41	<b>Records Transmittal Forms</b> Agency copy (includes RMD 101, Tx-R-5, 306-58-1, and Agency Storage Forms). Forms indicate records transferred to storage or a transfer of legal custody.	AC + 2		AC + 2	AC = Date of authorization for destruction, permanent transfer from storage, or transfer to the Archives and Information Services Division, Texas State Library and Archives Commission, by the agency records management officer.		
1.2.008	A-42	<b>Request for Authority to Dispose of State Records (RMD 102)</b> Agency copy.	FE + 3		FE + 3	Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission.		
1.2.010	A-43	<b>Records Disposition Logs</b> Logs or similar records listing records destroyed or transferred to the Archives and Information Services Division, Texas State Library and Archives Commission, showing records series title, dates of records, and date destroyed or transferred.	10		10			

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 **59**

2. Agency Code	450	3. Agency Name Texas Department of Savings and Mortgage Lending							
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			

1.2.011	A-44	<b>Record Center Storage Approval Forms (RMD 106)</b> Agency copy.	US		US			
1.2.012	A-45	<b>Records Inventory Worksheets</b>	US		US			
1.2.013	A-46	<b>Records Control Locator Aids</b> Includes indexes, card files, shelf lists, registers, guides, etc.	AC		AC		AC = When control aid is updated, revised, or no longer needed.  CAUTION: These records must carry the same retention period and archival code of the records they support.	
1.2.014	A-47	<b>Records Management Plans</b> Records management plans and similar records that establish the policies and procedures under which records and information are managed in an agency.	US + 1		US + 1			
1.2.015	A-48	<b>Disaster Recovery Service Transmittals (RMD 109)</b> Also includes documentation for disaster recovery services provided by other entities.	FE + 1		FE + 1			
1.2.016	A-49	<b>Disaster Recovery Service Approval Form (RMD 113)</b> Agency copy of form.	AC		AC		AC = Until superseded or termination of service.	

Retention Codes (Field 7)	Archival Codes (Field 8)
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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 **21** of **59**

2. Agency Code	450	3. Agency Name Texas Department of Savings and Mortgage Lending							
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			

1.3.001	A-50	<p><b>State Publications</b></p> <p>One copy of each state publication as defined on page xi of this schedule, except a publication that is subject to a different retention period in this schedule. For example, a meeting agenda (see item number 1.1.058) also meets the definition, but it must be retained permanently; item numbers 1.1.004, 1.1.055, 1.1.066, 1.1.068, and 4.5.003, which also meet the definition, are closely associated with the appropriations process and must be retained AC + 6.</p>	AC + 2		AC + 2		<p>AC = Until superseded or obsolete.</p> <p><b>CAUTION:</b> Many state publications must be submitted to the Texas State Publications Depository Program, Texas State Library and Archives Commission, by law (Government Code 441.101-441.106). The Texas State Library and Archives Commission will retain a copy of all state publications submitted to it on a continuing basis, subject to periodic evaluation to determine if the publication merits further retention.</p> <p>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 §§3.1-3.16).</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	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 **59**

2. Agency Code	450	3. Agency Name Texas Department of Savings and Mortgage Lending							
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			

1.3.002	A-51	<b>Publication Development Files</b> Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV		AV	R		
2.1.001	A-52	<b>Processing Files</b> Machine-readable files used in the creation, utilization, and updating of master files.	AC		AC		AC = Completion of 3 <sup>rd</sup> verification cycle, or audit completion confirming successful transaction processing, or required audit trail maintenance, or the ability to restore or migrate when errors are detected or when hardware or software changes occur.  <b>CAUTION:</b> Records management officers must be certain before assigning the retention period of AC to agency automated processing files that the files do not fall under records series listed elsewhere.	

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 **23** of **59**

2. Agency Code	450	3. Agency Name Texas Department of Savings and Mortgage Lending							
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			

2.1.002	A-53	<p><b>Master Files</b> Relatively long-lived computer files containing organized and consistent sets of complete and accurate electronic records. Examples include, but are not limited to, data tables of relational databases used by applications or computer programs.</p>	AC		AC	<p>AC = Completion of 3<sup>rd</sup> verification cycle, or audit completion confirming successful transaction updates, or required audit trail maintenance, or the ability to restore or migrate when errors are detected or when hardware or software changes occur.</p> <p><b>CAUTION:</b> Records management officers must be certain before assigning the retention period of AC to agency automated processing files that the files do not fall under records series listed elsewhere.</p>		
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**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 **24** of **59**

2. Agency Code	450	3. Agency Name Texas Department of Savings and Mortgage Lending							
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	A-54	<b>Software Programs</b> Automated software applications and operating system files including job control language, program listing/source code, etc.	AC		AC	AC = Until electronic records are transferred to and made usable in a new software environment or there are no electronic records being retained to meet an approved retention period that require the software to be retrieved and read. 13 TAC 6.94.  CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.		
2.1.008	A-55	<b>Hardware Documentation</b> Records documenting operational and maintenance requirements of computer hardware such as operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems.	AC		AC	AC = Until electronic records are transferred to and made usable in a new hardware environment or there are no electronic records being retained to meet an approved retention period that require the hardware to be retrieved and read. 13 TAC 6.94.  CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.		

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

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**SLR 105**

*Form SLR 105C must accompany this form.*

1. Page **25** of **59**

2. Agency Code	450	3. Agency Name Texas Department of Savings and Mortgage Lending						
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		

2.1.009	A-56	<p><b>Technical Documentation</b></p> <p>Records adequate to specify all technical characteristics necessary for reading or processing of electronic records and their timely, authorized disposition including documentation describing how a system operates and necessary for using the system such as user guides, system or sub-system definitions, system specifications, input and output specifications, and system flow charts; program descriptions and documentation such as program flowcharts, program maintenance logs, change notices, and other records that document modifications to computer programs; and data documentation necessary to access, retrieve, manipulate, and interpret data in an automated system such as a data element dictionary, file layout, code book or table, and other records that explain the meaning, purpose, structure, logical relationships, and origin of the data elements.</p>	AC		AC		<p>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.</p> <p>CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.</p>	
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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.*

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2. Agency Code	450	3. Agency Name Texas Department of Savings and Mortgage Lending						
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		

2.1.010	A-57	<b>Audit Trail Records</b> Files needed for electronic data audits such as files or reports showing transactions accepted, rejected, suspended, and/or processed; history files/tapes; records of on-line updates to application files or security logs.	AC		AC		AC = All audit requirements have been met.		
2.1.011	A-58	<b>Finding Aids, Indexes, and Tracking Systems</b> Automated indexes, lists, registers, and other finding aids used to provide access to records.	AC		AC		AC = The related records have been destroyed.  CAUTION: These records must carry the same retention period and archival code of the records they support.		
2.2.001	A-59	<b>System Monitoring Records</b> Electronic files or automated logs created to monitor computer systems such as print spool logs, console logs, tape activity logs, etc.	AV		AV				

Retention Codes (Field 7)	Archival Codes (Field 8)
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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 **27** of **59**

2. Agency Code	450	3. Agency Name Texas Department of Savings and Mortgage Lending						
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		

2.2.002	A-60	<b>Chargeback Records to Data Processing Services Users</b> Records used to document, calculate costs, and bill program units for computer usage and data processing services. These records are also used for cost recovery, budgeting, or administrative purposes.	FE + 3		FE + 3			
2.2.004	A-61	<b>Computer Job Schedules and Reports</b> Schedules or similar records showing computer jobs to be run and other reports by computer operators or programmers of work performed.	3 MO		3 MO			
2.2.010	A-62	<b>Data Processing Policies and Procedures</b> Manuals, guidelines, or similar documents establishing data processing policies and procedures in an agency in such areas as access and security, systems development, data retention and disposition, data ownership, production control, system back-up, etc.	US + 3		US + 3		CAUTION: Does not include technical documentation of procedures necessary for reading or processing of electronic records. SEE item number 2.1.009.	
2.2.011	A-63	<b>Batch Data Entry Control Records</b> Forms and logs used to reconcile batches submitted for processing against batches received and processed.	AC		AC		AC = When reconciliation confirmed.	

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

## Records Retention Schedule

**SLR 105**

*Form SLR 105C must accompany this form.*

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2. Agency Code	450	3. Agency Name Texas Department of Savings and Mortgage Lending						
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		

2.2.012	A-64	<b>Output Records for Computer Production</b> Reports showing transactions that were accepted, rejected, suspended, and/or processed.	AV		AV			
2.2.013	A-65	<b>Quality Assurance Records</b> Information verifying the quality of system, hardware, or software operations including records of errors or failures and the loss of data resulting from such failures, documentation of abnormal termination and of error free processing, checks of changes put into production, transaction histories, and other records needed as an audit trail to evaluate data accuracy.	AC		AC		AC = No longer needed as an audit trail for any records modified.	
2.2.014	A-66	<b>Internet Cookies</b> Data resident on hard drives that make use of user-specific information transmitted by the Web server onto the user's computer so that the information might be available for later access by itself or other servers.	AV		AV		The disposal of Internet cookies need not be documented through destruction authorizations (1.2.001) or in records disposition logs (1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (1.2.014).	

Retention Codes (Field 7)	Archival Codes (Field 8)
AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value	A – Transfer to State Archives R – Review by State Archivist
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# STATE OF TEXAS

## Records Retention Schedule

**SLR 105**

*Form SLR 105C must accompany this form.*

1. Page **29** of **59**

2. Agency Code	450	3. Agency Name						Texas Department of Savings and Mortgage Lending					
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							

2.2.015	A-67	<b>History Files - Web Sites</b> A record of the documents visited during an Internet session that allows users to access previously visited pages more quickly or to generate a record of usage of a state-owned computer.	AV		AV		The disposal of history files need not be documented through destruction authorizations (1.2.001) or in records disposition logs (1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (1.2.014).		
2.2.016	A-68	<b>Software Registrations, Warranties and License Agreements</b>	LA + 3		LA + 3				
3.1.001	E-1	<b>Applications for Employment - Not Hired</b> Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.	2		2		29 CFR 1602.31 [State Agencies].		
3.1.002	E-2	<b>Applications for Employment - Hired</b> Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.	AC + 5		AC + 5		AC = Termination of employment.		

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 **30** of **59**

2. Agency Code	450	3. Agency Name Texas Department of Savings and Mortgage Lending						
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		

3.1.006	E-6	<b>Employee Counseling Records</b> Notes, memoranda, or reports relating to the counseling of an employee for work-related, personal, or substance abuse problems. Usually maintained at the supervisory level except in those agencies with counseling staff.	AC + 3		AC + 3	AC = Termination of counseling.		
3.1.011	E-9	<b>Employee Insurance Records</b> Agency copies of information relating to the selection by employees of life, disability, health, and other types of insurance offered by the State of Texas to its employees.	AC		AC	AC = Until superseded or termination of employment.  CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item number 3.2.001.		
3.1.012	E-10	<b>Employment Opportunity Announcements</b> Internal or external announcements or advertisements of job openings, promotions, training programs, or opportunities for overtime.	2		2	29 CFR 1602.31 [State Agencies].		
3.1.013	E-11	<b>Employment Contracts</b>	AC + 4		AC + 4	AC = Expiration or termination of the contract according to its terms.		

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.*

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2. Agency Code	450	3. Agency Name Texas Department of Savings and Mortgage Lending						
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4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			

3.1.014	E-12	<b>Employment Selection Records</b> Includes notes of interviews with candidates, questions asked of applicants, audio and videotapes of job interviews, driving record and previous injury checks, pre-employment physical examinations, pre-employment drug screening test results, polygraph examination results; and all other records that document the selection process.	2		2	29 CFR 1602.31 [State Agencies].  CAUTION: Does not include criminal history checks. SEE item number 3.1.026.		
3.1.018	E-15	<b>Grievance Records</b> Records relating to the review of employee grievances against personnel policies, working conditions, etc.	AC + 2		AC + 2	AC = Final decision on the grievance.  CAUTION: Does not include formal complaints filed by an agency employee with the Equal Employment Office (EEO) of the U. S. Department of Labor. SEE item number 1.1.048.		
3.1.019	E-16	<b>Performance Appraisals</b>	2		2	29 CFR 1620.32(c).		

<b>Retention Codes (Field 7)</b>  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	<b>Archival Codes (Field 8)</b>  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.*

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2. Agency Code 450		3. Agency Name Texas Department of Savings and Mortgage Lending						
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			
3.1.020	E-17	<b>Personnel Corrective Action Documentation</b> Corrective actions are those actions which do not affect pay, status, or tenure and are imposed to correct or improve an employee's job performance.	AC + 5		AC + 5	AC = Termination of corrective action.  <b>CAUTION:</b> If, during the retention period of this records series, any part of this series is used to document and support personnel disciplinary action under item number 3.1.021, all documentation from this series used to support disciplinary action must be retained for the the minimum retention period described by item number 3.1.021.		

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



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2. Agency Code	450	3. Agency Name Texas Department of Savings and Mortgage Lending						
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		

3.1.021	E-18	<p><b>Personnel Disciplinary Action Documentation</b> Disciplinary actions are those actions which may affect pay, status, or tenure. They are imposed to discipline an employee whose conduct is harmful to the best interests of the state, the agency, or the employee work force; and for failure to improve performance or conduct following imposition of corrective action. May include cause for demotion, suspension, or dismissal, and the reasons for failure to give written notice of resignation. May also be used to document evidence of employee self-improvement efforts, as well as favorable and unfavorable communication.</p>	AC + 5		AC + 5		AC = Termination of employment.		
3.1.022	E-19	<p><b>Personnel Information or Action Forms</b> Forms or similar records used to create or change information concerning the records of an employee including pay grade, position classification, employee number, evaluation date, and termination of employment.</p>	2		2		29 CFR 1602.31 [State Agencies].		

Retention Codes (Field 7)	Archival Codes (Field 8)
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CE – Calendar Year End FE – Fiscal Year End	LA – Life of Asset MO – Months
PM – Permanent US – Until Superseded	



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## Records Retention Schedule

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*Form SLR 105C must accompany this form.*

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2. Agency Code	450	3. Agency Name Texas Department of Savings and Mortgage Lending						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

3.1.023	E-20	<b>Position/Job Descriptions</b> Job descriptions, including all associated task or skill statements, for positions in an agency.	AC + 4		AC + 4	AC = Until superseded or job eliminated. 40 TAC 815.106(i).		
3.1.024	E-21	<b>Physical Examinations/Medical Reports</b> Medical or physical examination reports or certificates of employees for whom periodic monitoring of health or fitness is required.	AC + 2		AC + 2	AC = Until superseded or termination of employment.  CAUTION: Does not include pre-employment physical examinations. SEE item number 3.1.014.		
3.1.026	E-22	<b>Criminal History Checks</b> Criminal history record information on job applicants or agency employees obtained from the Department of Public Safety (DPS).	AC		AC	AC = The criminal history record has served the immediate purpose for which it was obtained.  CAUTION: An agency that is authorized to obtain a criminal history record information from DPS must refer to its agency's legislation or see Subchapter F, Chapter 411, Government Code for appropriate retention and use of this information.		

Retention Codes (Field 7)	Archival Codes (Field 8)
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CE – Calendar Year End FE – Fiscal Year End	LA – Life of Asset MO – Months
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2. Agency Code	450	3. Agency Name Texas Department of Savings and Mortgage Lending						
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		

3.1.027	E-23	<b>Training and Educational Achievement Records (Individual)</b> Certificates of completion, transcripts, test scores, or similar records documenting the training, testing, or continuing education achievements of an employee.	AC + 5		AC + 5	AC = Termination of employment.		
3.1.029	E-24	<b>Employment Eligibility, Documentation or Verification of</b> Federal reporting form (INS I-9).	AC + 1		AC + 1	AC = Termination of employment.  <b>CAUTION:</b> Federal regulation requires that INS 1-9 forms be retained for 3 years from date of hire or 1 year after separation of the employee, whichever later. Agencies should make certain that the INS I-9 forms for employees who terminate from an agency less than 3 years from date of hire are kept for the 3 year retention period.  8 CFR 274a.2(b)(2)(i)(A) and (c)(2).		

Retention Codes (Field 7)	Archival Codes (Field 8)
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2. Agency Code	450	3. Agency Name Texas Department of Savings and Mortgage Lending						
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		

3.1.031	E-25	<b>Employee Benefits - Other than Insurance</b> Agency copies of information relating to the selection of available benefit options other than insurance.	AC + 2		AC + 2	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 number 3.2.001.		
3.1.034	E-26	<b>Resumes - Unsolicited</b> Retention period applies if an agency replies to the sender of a resume that it will be kept on file should future job openings occur.	AV		AV	SEE item number 3.1.014 for resumes, whether solicited or unsolicited, that are used in any way in the employment selection process.		
3.1.035	E-27	<b>Performance Bonds</b> Bonds posted by employees and individuals or entities under contract with an agency for the performance of the duties of a position or the terms of a contract with the agency.	AC + 4		AC + 4	AC = Expiration or termination of the bond according to its terms.  CAUTION: Does not include construction or architectural surety bonds. SEE item number 5.2.028.		

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



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2. Agency Code	450	3. Agency Name Texas Department of Savings and Mortgage Lending						
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		

3.1.036	E-28	<b>Apprenticeship Records</b> Summary of applicant qualifications, evaluation basis for selection or rejection, original applications, job assignments, promotions, separations, layoffs, terminations, compensation records, conditions of work, time records, hours of training provided (separate from labor), minority status, and gender of all selected and rejected applicants.	5		5		29 CFR 30.8(e).		
3.1.037	E-29	<b>Employee Recognition Records</b> Awards, incentives, tenure, etc.	AC + 5		AC + 5		AC = Termination of employment.		
3.1.038	E-29a	<b>Public Access Option Form</b> Form completed and signed by employee or official, or former employee or official, electing to keep home address, home telephone number, social security number, and family information open or confidential under the Public Information Act, Government Code §552.024.	US		US		SEE item number 3.3.011.		

Retention Codes (Field 7)	Archival Codes (Field 8)
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CE – Calendar Year End FE – Fiscal Year End	LA – Life of Asset MO – Months
PM – Permanent US – Until Superseded	



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2. Agency Code	450	3. Agency Name Texas Department of Savings and Mortgage Lending							
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			

3.1.039	E-29b	<b>Ombudsman Records</b> Consultation records, notes, letters, memos, emails, reports and other documentation.	AC		AC	AC = Final decision or matter closed.  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 records series. SEE 1.1.048, 3.1.006, 3.1.018, 3.1.020, and 3.1.021.		
3.2.001	E-30	<b>Employee Deduction Authorizations</b> Documentation used to start, modify, or stop all voluntary or required deductions from payroll, including garnishment or other court-ordered attachments.	AC + 4		AC + 4	AC = After termination of employee or after amendment, expiration, or termination of authorization, whichever sooner.		
3.2.002	E-31	<b>Employee Earnings Records</b>	4		4	40 TAC 815.106(i).		
3.2.003	E-32	<b>Federal Tax Records</b> Includes 1099, W2, FICA, and other tax records.	AC + 4		AC + 4	AC = Tax due date, date the claim is filed, or date tax is paid whichever is later.  26 CFR 31.6001 - 1(e)(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	



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2. Agency Code	450	3. Agency Name Texas Department of Savings and Mortgage Lending							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks			

3.2.004	E-33	<b>Income Adjustment Authorizations</b> Used to make increases or decreases to employees' gross pay, FICA, retirement, or in the computation of taxes.	2		2		29 CFR 516.6(c).		
3.2.005	E-34	<b>W-4 Forms</b> Employer's copy of "Employee's Withholding Exemption Certificate."	AC + 4		AC + 4		AC = Until superseded, obsolete, or upon separation of employee.  26 CFR 31.6001-1 (e)(2).		
3.2.006	E-35	<b>Wage Rate Tables</b>	2		2		29 CFR 516.6(a)(2).		
3.2.007	E-36	<b>Unemployment Compensation Records</b>	AC + 5		AC + 5				
3.2.008	E-37	<b>Direct Deposit Application/Authorizations</b>	US		US				
3.2.009	E-38	<b>State Deferred Compensation Records</b>	AC + 5		AC + 5		AC = All accounts with a vendor or vendors for the individual participant have been closed. For instructions regarding the determination of the closure of accounts and for additional information regarding the retention period see the most current edition of the <i>Benefits Coordinator Reference Manual</i> issued by the Employees Retirement System of Texas.		
3.2.010	E-39	<b>Human Resources Information System (HRIS) Reports</b> Includes supporting documentation.	AC + 4		AC + 4				

Retention Codes (Field 7)	Archival Codes (Field 8)
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CE – Calendar Year End FE – Fiscal Year End	LA – Life of Asset MO – Months
PM – Permanent US – Until Superseded	



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2. Agency Code	450	3. Agency Name Texas Department of Savings and Mortgage Lending						
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		

3.3.001	E-40	<b>Affirmative Action Plans</b> Affirmative action plans for both regular employees and apprenticeship programs.	5		5		29 CFR 30.8(e) for apprenticeship plans.		
3.3.004	E-41	<b>Benefit Plans</b> Employee benefit plans such as pension; life, health, and disability insurance; deferred compensation; etc., including amendments.	US + 1		US + 1		29 CFR 1627.3(b)(2).		
3.3.010	E-42	<b>Labor Statistics Reports</b> Reports providing statistical information on labor force.	3		3				
3.3.011	E-43	<b>Former Employee Verification Records</b> Minimum information needed to verify employment, includes name, social security number, exact dates of employment, last known address and most recent public access option form.	AC + 75		AC + 75		AC = Termination of employment. See itemnumber 3.1.038.		
3.3.015	E-45	<b>Positions/Job Classification Review File</b> Records relating to review and monitoring of job classifications within an agency.	US + 3		US + 3				
3.3.020	E-46	<b>Work Schedules/Assignments</b> Work, duty, shift, crew, or case schedules, rosters, or assignments.	1		1				

Retention Codes (Field 7)	Archival Codes (Field 8)
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CE – Calendar Year End FE – Fiscal Year End	LA – Life of Asset MO – Months
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2. Agency Code	450	3. Agency Name Texas Department of Savings and Mortgage Lending							
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			

3.3.022	E-47	<b>Texas Workforce Commission (TWC) Reports</b> Reports to the agency from TWC or its predecessor pertaining to employees.	3		3				
3.3.023	E-48	<b>Reimbursable Activities, Requests and Authorizations to Engage in</b> Requests and authorizations for travel; participation in educational programs, workshops, or college classes; or for other work-related activities for which the expenses of the employee are defrayed or reimbursed.	FE + 3		FE + 3				
3.3.024	E-49	<b>Personnel Policies and Procedures</b> Any internally distributed manuals, guidelines, or similar records that define agency wide policies and procedures concerning the personnel of an agency.	US + 3		US + 3				
3.3.025	E-50	<b>Job Procedure Records</b> Any documents detailing the procedural duties and responsibilities of agency positions on a position-by-position basis.	US + 3		US + 3				

Retention Codes (Field 7)	Archival Codes (Field 8)
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2. Agency Code	450	3. Agency Name Texas Department of Savings and Mortgage Lending							
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			

3.3.026	E-51	<b>Agency Staffing Reports</b> Any reports compiled by an agency on aspects of personnel staffing, including listings of all staff by program or name, staff hired during a month, detailed listings of employees within its organizational structure, position vacancies, analyses of turnover rates and seasonality of employment, etc.	US + 3		US + 3				
3.3.027	E-52	<b>Aptitude and Skills Tests</b> Aptitude or skills tests required of job applicants or of current personnel to qualify for promotion or transfer.	US + 2		US + 2		29 CFR 1602.31 [State Agencies].		
3.3.028	E-53	<b>Aptitude and Skills Tests (Test Papers)</b> Aptitude and skills test papers of job applicants or of current personnel taking a test to qualify for promotion or transfer.	2		2		29 CFR 1602.31 [State Agencies].		
3.3.029	E-54	<b>Aptitude and Skills Tests (Validation Records)</b> Records of the validation of aptitude and skills tests.	AC + 2 years		AC + 2 years		AC = As long as the test is used by an agency. 29 CFR 1602.31 [State Agencies].		

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



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2. Agency Code	450	3. Agency Name Texas Department of Savings and Mortgage Lending							
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			

3.3.030	E-55	<b>Training Administration Records</b> Instructional materials and other records associated with in-house training of agency personnel on personnel policies and procedures and other policies and procedures that govern an agency's programs, services, or projects.	US + 2		US + 2		CAUTION: Does not include hazardous material training records. SEE item number 5.4.007.		
3.3.031	E-56	<b>EEO Reports and Supporting Documentation</b> Includes documentation used to complete EEO reports.	3		3		29 CFR 1602.32, 1602.39, 1602.41, 1602.48, and 1602.50.		
3.3.032	E-57	<b>Equal Pay Records</b> Reports, studies, aggregated or summary data, and similar documentation compiled to monitor and demonstrate compliance with the federal Equal Pay Act.	3		3		29 CFR 1620.32.		
3.4.001	E-58	<b>Accumulated Leave Adjustment Requests</b> Used to create employee leave balances, to transfer leave balances when an employee transfers positions, to adjust carry-over balances on August 31, to correct errors on leave accumulation, and to close out leave accounts on separated employees.	FE + 4		FE + 4				

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

3.4.002	E-59	<b>Leave Status Reports</b> Cumulative report is issued each pay cycle and provides employee leave status information for each position.	FE + 4		FE + 4			
3.4.003	E-60	<b>Less Than Full-Time Worked Reports</b> Dates and hours.	FE + 4		FE + 4		40 TAC 815.106(i).	
3.4.004	E-61	<b>Overtime Authorizations</b>	FE + 4		FE + 4			
3.4.005	E-62	<b>Overtime Schedules</b>	FE + 4		FE + 4			
3.4.006	E-63	<b>Time Cards and Time Sheets</b>	FE + 4		FE + 4		40 TAC 815.106(i).	
3.4.007	E-64	<b>Time Off and/or Sick Leave Requests</b>	FE + 4		FE + 4			
3.4.008	E-65	<b>Sick Leave Pool Documentation</b> Requests submitted, approvals, number of hours transferred in and out, etc.	FE + 4		FE + 4			
4.1.001	F-1	<b>Accounts Payable Information</b>	FE + 3		FE + 3			
4.1.002	F-2	<b>Billing Detail</b>	FE + 3		FE + 3		CAUTION: Does not include long distance telephone billing detail. SEE item numbers 5.5.001, 5.5.006, and 5.5.007.	
4.1.003	F-3	<b>Canceled Checks/Stubs/Warrants/Drafts</b>	FE + 3		FE + 3			
4.1.004	F-4	<b>Encumbrance Detail</b>	FE + 3		FE + 3			
4.1.005	F-5	<b>Inventory and Other Cost Files</b> Production, job, labor, quotes, pricing, specifications, etc.	FE + 3		FE + 3			
4.1.006	F-6	<b>Investment Transaction Files</b>	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



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2. Agency Code	450	3. Agency Name Texas Department of Savings and Mortgage Lending							
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4.1.007	F-7	<b>Transfers or Budget Revisions</b> Transfers or adjustment to budgets.	FE + 3		FE + 3			
4.1.008	F-7a	<b>Electronic Fund Transfers</b> Direct Deposit Registers.	FE + 3		FE + 3			
4.2.001	F-8	<b>Cash Deposit Vouchers</b> Cash deposit slips.	FE + 3		FE + 3			
4.2.002	F-9	<b>Cash Receipts</b> Includes receipts for fees (permits, licenses, renewals, etc.).	FE + 3		FE + 3			
4.2.003	F-10	<b>Daily Cash Receipts Logs</b>	FE + 3		FE + 3			
4.2.004	F-11	<b>Encumbrance Vouchers</b> Orders, statements, change orders, etc.	FE + 3		FE + 3			
4.2.005	F-12	<b>Purchase Vouchers</b> Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE + 3		FE + 3			
4.2.006	F-13	<b>General Journal Vouchers</b>	FE + 3		FE + 3			
4.2.007	F-14	<b>Expenditure Vouchers</b> Travel, payroll, etc.	FE + 3		FE + 3			
4.3.001	F-15	<b>Sales Journals or Registers</b>	FE + 3		FE + 3			
4.3.002	F-16	<b>Receipts Journals or Registers</b>	FE + 3		FE + 3			
4.3.003	F-17	<b>Expenditures Journals or Registers</b>	FE + 3		FE + 3			
4.4.001	F-18	<b>General and Subsidiary Ledgers</b>	FE + 3		FE + 3			
4.4.002	F-19	<b>Accounts Receivable Ledgers</b>	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.*

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2. Agency Code	450	3. Agency Name Texas Department of Savings and Mortgage Lending							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks			

4.4.003	F-20	<b>Accounts Payable Ledgers</b>	FE + 3		FE + 3			
4.4.004	F-21	<b>Employee Savings Bond Ledgers</b>	FE + 3		FE + 3			
4.5.001	F-22	<b>Worksheets for Preparing Fiscal Reports</b>	FE + 3		FE + 3			
4.5.002	F-23	<b>Internal Fiscal Management Reports</b> Includes agency monthly budget reports.	FE + 3		FE + 3			
4.5.003	F-24	<b>Annual Financial Reports</b> Required by the General Appropriations Act (100 Day Report).	AC + 6		AC + 6		AC = September 1 of odd-numbered calendar years.  CAUTION: If an agency does not produce a biennial or annual narrative report as described in item number 1.1.066, then these annual financial reports must be marked with Archival Code A. The archival requirement, when a biennial or annual narrative report is not produced, is met by sending the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission.	
4.5.005	F-25	<b>External Fiscal Reports</b> Special purpose - i.e. federal financial reports, salary reports, etc. Includes HUB Reports.	FE + 3		FE + 3			

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 **47** of **59**

2. Agency Code	450	3. Agency Name Texas Department of Savings and Mortgage Lending							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks			

4.5.006	F-26	Annual Operating Budgets Required by the General Appropriations Act.	FE + 3		FE + 3			
4.5.007	F-26a	USAS Reports – Daily	AC		AC		AC = Receipt and reconciliation of monthly report.	
4.5.008	F-26b	USAS Reports - Monthly	AC		AC		AC = Receipt and reconciliation of annual report.	
4.5.009	F-26c	USAS Reports - Annual	FE + 3		FE + 3			
4.6.001	F-27	Balancing Records	FE + 3		FE + 3			
4.6.002	F-28	Reconciliations	FE + 3		FE + 3			
4.6.003	F-29	Cash Counts	FE + 3		FE + 3			
4.7.001	F-30	Accounting Policies and Procedures Manual	US + 3		US + 3			
4.7.002	F-31	Bank Statements	FE + 3		FE + 3			
4.7.003	F-32	Returned Checks/Warrants/Drafts (Uncollectable)	AC + 3		AC + 3		AC = After deemed uncollectable.	
4.7.004	F-33	Capital Asset Records	LA +3		LA +3			
4.7.005	F-34	Claim Files	AC + 3		AC + 3		AC = Resolution of claim.	
4.7.006	F-35	Comptroller Statements	FE + 3		FE + 3			
4.7.007	F-36	Detail Chart of Accounts One for all accounts in use for a fiscal year.	FE + 3		FE + 3			

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

## Records Retention Schedule

**SLR 105**

*Form SLR 105C must accompany this form.*

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2. Agency Code	450	3. Agency Name Texas Department of Savings and Mortgage Lending							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks			

4.7.008	F-37	<b>Federal Grant Records</b>	AC + 3		AC + 3		AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (the Common Rule).  CAUTION: Retention requirements may vary depending on the specific federal funding agency. Agencies must ensure that records are retained for the appropriate retention period.		
4.7.009	F-38	<b>Fixed Asset Sequential Number Logs</b>	US + 3		US + 3				
4.7.010	F-39	<b>Long-Term Liability Records</b> Bonds, etc.	AC + 3		AC + 3		AC = Retirement of debt.		
4.7.011	F-40	<b>Texas Facilities Commission (TFC)</b> Charge or bill statements received by agencies from the TBPC for services provided.	FE + 3		FE + 3				
4.7.012	F-41	<b>Signature Authorizations</b> Signature cards or similar records establishing authority of an agency employee to initiate or authorize financial transactions on behalf of an agency.	US + FE + 3		US + FE + 3				

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# STATE OF TEXAS

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**SLR 105**

*Form SLR 105C must accompany this form.*

1. Page **49** of **59**

2. Agency Code	450	3. Agency Name Texas Department of Savings and Mortgage Lending							
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.
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5.1.001	S-1	<b>Contracts and Leases</b> Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence.	AC + 4		AC + 4		AC = Expiration or termination of the instrument according to its terms. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs.		
5.1.003	S-1a	<b>Delivery Reports</b>	2		2				
5.1.004	S-2	<b>Mail and Telecommunications Listings</b> Any mailing address, telephone or fax number, or e-mail address records maintained by an agency on its employees or on entities or persons it serves.	US		US				
5.1.005	S-3	<b>Postage Records</b> Records and reports of postage expenses, including postal meter usage.	FE + 3		FE + 3				
5.1.007	S-4	<b>Requisitions for In-Agency or Inter-Agency Copy/Printing Service</b> Includes word processing and data processing.	AV		AV				

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# STATE OF TEXAS

## Records Retention Schedule

**SLR 105**

*Form SLR 105C must accompany this form.*

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2. Agency Code	450	3. Agency Name Texas Department of Savings and Mortgage Lending						
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		

5.1.010	S-5	<b>Licenses and Permits for Non-vehicles</b> Does not include licenses and permits issued by an agency as part of its statutory responsibilities.	AC + 2		AC + 2	AC = Expiration date of license or permit.		
5.1.011	S-6	<b>Photocopier and Telefax Usage Logs &amp; Reports</b>	AV		AV			
5.1.012	S-7	<b>Charge Schedules/Price Lists</b> Schedules of prices charged by an agency for services to the public or other agencies, including any documentation used to determine the charges.	US + 3		US + 3			
5.1.013	S-8	<b>Insurance Policies</b> For vehicles, equipment, etc.	AC + 4		AC + 4	AC = Expiration or termination of the policy according to its terms.		
5.1.014	S-9	<b>Office Procedures</b> Any internally distributed manual, guidelines, or similar records that establish standard office procedures for an agency; for example, agency style manuals, telephone protocols, mail room procedures, print shop and photocopy ordering instructions.	US + 1		US + 1			

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

## Records Retention Schedule

**SLR 105**

*Form SLR 105C must accompany this form.*

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2. Agency Code	450	3. Agency Name Texas Department of Savings and Mortgage Lending							
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			

5.1.015	S-10	<b>Correspondence Tracking Records</b> Any record created by an agency to track any type of incoming and outgoing correspondence or packages by the U.S. Postal Service or by private couriers.	1		1				
5.1.017	S-10.001	<b>Contract Log</b> List of agency contracts, leases, and agreements including general obligation, land lease, utilities, and construction contracts.	FE + 3		FE + 3				
5.2.001	S-11	<b>Appraisals - Building or Property</b>	AV		AV	R			
5.2.002	S-12	<b>Building Construction Project Files</b> Planning, design, and construction records; accepted and rejected bids; correspondence; etc.	AC + 10		AC + 10	R	AC = Completion of project. SEE ALSO item numbers 5.2.003 and 5.2.028.		
5.2.003	S-13	<b>Building Plans and Specifications</b> Includes architectural and engineering drawings, profiles, and blueprints.	State owned: LA Leased: AC+2		State owned: LA Leased: AC+2	R	AC: For leased buildings, AC = Termination or cancellation of lease. SEE ALSO item numbers 5.2.002 and 5.2.028.  ARCHIVES NOTE: Archival review designation is for state-owned buildings only.		

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**Archival Codes (Field 8)**

A – Transfer to State Archives  
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# STATE OF TEXAS

## Records Retention Schedule

**SLR 105**

*Form SLR 105C must accompany this form.*

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2. Agency Code	450	3. Agency Name Texas Department of Savings and Mortgage Lending							
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			

5.2.004	S-14	<b>Building Space Requests</b>	1		1				
5.2.005	S-15	<b>Calibration Records (Equipment or Instrument)</b>	10		10				
5.2.006	S-16	<b>Property Destruction, Certificates of</b>	FE + 3		FE + 3				
5.2.007	S-17	<b>Damage Reports</b> Reports of damage to state property.	FE + 3		FE + 3				
5.2.008	S-18	<b>Equipment History File; Equipment Service Agreements</b> Agreements or contracts between the agency and equipment vendor to provide maintenance service for equipment. Includes requests for installation, moves, service, etc.; and service/repair logbooks, etc.	LA + 3		LA + 3				
5.2.009	S-19	<b>Equipment Inventory Detail Report Forms</b> Updates agency portion of the inventory listing and adds, changes, transfers, or deletes items from inventory.	FE + 3		FE + 3				
5.2.010	S-20	<b>Equipment Manuals</b>	LA		LA				
5.2.011	S-21	<b>Equipment Warranties</b>	AC + 1		AC + 1		AC = Expiration of Warranty.		
5.2.012	S-22	<b>Estimate Files (Supply and Repair Cost Estimates)</b>	1		1				
5.2.014	S-23	<b>Inventory - Annual Physical</b> Property, equipment, supply verification.	FE + 3		FE + 3				

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LA – Life of Asset MO – Months	



# STATE OF TEXAS

## Records Retention Schedule

**SLR 105**

*Form SLR 105C must accompany this form.*

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2. Agency Code	450	3. Agency Name Texas Department of Savings and Mortgage Lending							
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			

5.2.015	S-24	<b>Inventory, Notices of Equipment Removed From</b>	FE + 3		FE + 3			
5.2.016	S-25	<b>Inventory System Update Listings</b> Listing shows all additions, changes, deletions, and transfer times for the monthly processing period.	AC		AC		AC = Transfer of information into annual listing.	
5.2.017	S-26	<b>Lost &amp; Stolen Property Reports</b>	FE + 3		FE + 3			
5.2.018	S-27	<b>Quality Control Reports</b>	2		2			
5.2.019	S-28	<b>Service Orders</b> Agency copy of forms completed by mechanical service personnel for installation or repair. Includes billing code, service, labor, parts, and remarks.	1		1			
5.2.020	S-29	<b>Supply Usage Records</b>	FE + 1		FE + 1			
5.2.021	S-30	<b>Surplus Property Sale Reports</b>	FE + 3		FE + 3			
5.2.022	S-31	<b>Utility Usage Reports</b>	AV		AV			
5.2.023	S-32	<b>Year-to-Date Activity (Inventory Listing)</b> Shows additions, changes, transfers, and deletions of information within the inventory system. Data include agency, division, tag number, batch, document, transaction date, location, item code, description, date, and cost.	FE + 3		FE + 3			
5.2.024	S-33	<b>Material Specifications</b>	AC + 2		AC + 2		AC = Material is no longer in the agency.	

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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.*

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2. Agency Code	450	3. Agency Name						Texas Department of Savings and Mortgage Lending					
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							

5.2.025	S-34	<b>Equipment Descriptions and Specifications</b>	AC + 2		AC + 2	AC = Equipment is no longer in the agency.		
5.2.026	S-35	<b>Facilities Reservation Logs</b> Reservation logs or similar records relating to the use of agency facilities such as meeting rooms, auditoriums, etc.	2		2			
5.2.027	S-36	<b>Space Utilization Reports</b>	AV		AV			
5.2.028	S-37	<b>Building Construction Contract and Inspection Records</b> Building construction contracts, surety bonds, and inspection records.	LA + 10		LA + 10 R	SEE ALSO item numbers 5.2.002 and 5.2.003.		
5.3.002	S-38	<b>Freight Bills Paid</b>	FE + 3		FE + 3			
5.3.003	S-39	<b>Freight Claims</b>	AC + 2		AC + 2	AC = Resolution of claim.		
5.3.004	S-40	<b>Order - Acknowledgments</b>	AV		AV			
5.3.005	S-41	<b>Packing Slips</b>	AV		AV			
5.3.007	S-42	<b>Bid Documentation</b> Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, accepted and rejected bids, and bid tabulation/evaluations.	FE + 3		FE + 3	CAUTION: If a formal written contract is the result of a successful bid or request for proposal, the successful bid or request for proposal and its supporting documentation must be retained for the same period as the contract. SEE item number 5.1.001 an 5.2.028.		

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

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**SLR 105**

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2. Agency Code	450	3. Agency Name Texas Department of Savings and Mortgage Lending						
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		

5.3.008	S-43	<b>Purchasing Logs</b> Log, register, etc., providing a record of purchase orders issued, orders received, and similar data on procurement status.	FE + 3		FE + 3			
5.3.009	S-44	<b>Requests for Information</b> Requests for information preliminary to the procurement of goods or services by direct purchase or bid.	AC		AC		AC = Date of direct purchase, issuance of request for bids, or decision not to proceed with the procurement, as applicable.	
5.4.001	S-45	<b>Accident Reports and Associated Documentation</b> Accident or occupational disease reports (by supervisors and employees) and other associated reports required to be submitted to the Texas Department of Insurance or its predecessors or maintained internally on accident frequency.	CE + 5		CE + 5		29 CFR 1904.33. The Texas Department of Insurance retains copies of the reports submitted to it for 50 years.	
5.4.002	S-46	<b>Evacuation Plans</b> Plans for evacuation of agency facilities in cases of emergency.	US		US			

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# STATE OF TEXAS

## Records Retention Schedule

**SLR 105**

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2. Agency Code	450	3. Agency Name Texas Department of Savings and Mortgage Lending						
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5.4.003	S-47	<b>Inspection Records</b> 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.  CAUTION: Does not include inspection reports of building construction. SEE item number 5.2.028.		
5.4.004	S-48	<b>Fire Orders</b> Orders issued by Fire Marshal to correct deficiencies in compliance with the fire code.	AC + 3		AC + 3	AC = Deficiency corrected.		
5.4.007	S-49	<b>Hazardous Materials Training Records</b> Records of training given employees in an agency hazard communications program.	5		5	Texas Health and Safety Code, 502.009(g).		
5.4.008	S-50	<b>Hazard Communication Plans</b>	US + 5		US + 5	Texas Health and Safety Code, 502.009(g).		
5.4.009	S-51	<b>Workplace Chemical Lists</b>	30		30	Texas Health and Safety Code, 502.005(d).		
5.4.010	S-52	<b>Material Safety Data Sheets</b>	AC		AC	AC = After sheets are updated or hazardous chemical no longer stored by agency, as applicable.		

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2. Agency Code	450	3. Agency Name Texas Department of Savings and Mortgage Lending						
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5.4.011	S-53	<b>Visitor Control Registers</b> Logs, registers, or similar records documenting visitors to limited access or restricted areas of agency facilities.	3		3			
5.4.012	S-54	<b>Security Access Records</b> Records relating to the issuance of keys, identification cards, building passes, passwords, signed statements or similar instruments of access to agency or state facilities, equipment or automated systems.	AC + 2		AC + 2		AC = Until superseded, date of expiration, or date of termination, whichever sooner.	
5.4.013	S-55	<b>Disaster Preparedness and Recovery Plans</b>	US		US			
5.5.001	S-56	<b>Billing Detail - Telecommunications (Other Than TEX-AN)</b> In addition to summary detail, includes any accompanying detailed listing of long distance calls.	FE + 3		FE + 3		SEE item number 5.5.006 for TEX-AN billing detail.	
5.5.002	S-57	<b>Long Distance Telephone Logs</b> Long distance logs created by agencies for internal documentation purposes. Includes any similar logs created for long distance facsimile or electronic transmissions.	AV		AV			

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5.5.003	S-58	<b>Station Activity Reports</b> Internal listing of incoming/outgoing telephone activity to individual telephone stations.	AV		AV			
5.5.004	S-59	<b>System Activity Reports</b> Internal listing of all incoming/outgoing agency telephone activity.	AV		AV			
5.5.006	S-60	<b>Billing Detail - Telecommunications (TEX-AN)</b> In addition to summary detail, includes any accompanying detailed listing of long distance calls.	FE + 3		FE + 3		The billing agency will maintain all long distance TEX-AN records and will provide each using agency its bill summary of centralized capitol complex telephone service without call detail records. For these bill summaries, SEE item number 4.7.011. SEE item number 5.5.001 for billing detail from carriers other than TEX-AN.	
5.5.007	S-61	<b>Disputed Call Documentation</b> Documentation relating to disputed long distance calls, including documents evidencing repayment by employees for personal long distance use.	FE + 3		FE + 3			

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2. Agency Code	450	3. Agency Name Texas Department of Savings and Mortgage Lending						
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5.6.001		<b>Airplane Flight Logs</b>	State owned: LA + 3 Leased: FE + 3		State owned: LA + 3 Leased: FE + 3			
5.6.002	S-62	<b>Airplane Passenger Lists</b>	FE + 3		FE + 3			
5.6.003	S-63	<b>Inspection Repair and Maintenance Records - Vehicles</b>	LA + 1		LA + 1			
5.6.004	S-64	<b>License and Driving Record Checks</b>	AC		AC	AC = Until superseded or until termination of employment.		
5.6.005	S-65	<b>Vehicle Use Reports</b> Includes mileage, fuel/oil consumption, passengers carried and other related operational information.	FE + 3		FE + 3			
5.6.007	S-66	<b>Vehicle Titles &amp; Registrations</b>	LA		LA			
5.6.008	S-67	<b>Pilot License Verifications</b>	AC + 5		AC + 5	AC = Termination of employment.		
5.6.009	S-68	<b>Parking Permits or Assignments</b>	US		US			

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