



July 9, 2014

Ms. Wendy Rodriguez
Director of Strategic Support
Texas Department of Banking
2601 N. Lamar Blvd., 3rd Floor
Austin, TX 78705

RE: Agency records retention schedule approved for use

Dear Ms. Rodriguez:

Your agency's records retention schedule is approved for use as of July 7, 2014. Your currently approved records retention schedule is available on our website at <https://www.tsl.texas.gov/slrn/state/schedules.html>. Please ensure all old copies of the schedule are superseded with this recertified copy.

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

Each agency schedule must be reviewed, updated and submitted for recertification annually for the first two years after the initial approval of the schedule and triennially thereafter. The deadline for submission of your schedule for its next recertification is the last working day of **July 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, Marianna Symeonides, at 512-463-5448 or msymeonides@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, Charles Cooper

State and Local
Records Management

P.O. Box 12927
Austin, Texas
78711.2927

4400 Shoal Creek Blvd.
Austin, Texas
78756

www.tsl.texas.gov

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*Preserving yesterday,
informing today,
inspiring tomorrow.*

R01.451/451



STATE OF TEXAS

Records Retention Schedule Certification

ms
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 451
Agency Name Texas Department of Banking

(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 Wendy Rodriguez

Name (Print or type) Wendy Rodriguez

Date March 28, 2014

Section 2. Approvals

(Submitting agencies do not write in this section)

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

Signature _____
Name (Print or type) _____
Date _____

Not Required at This Time

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

Signature E. Sidewick
Name (Print or type) _____
Date 07-07-2014

Recertification No. 8 Amendment No. _____

CAUTION

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

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





STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 1 of 43

2. Agency Code 451		3. Agency Name Texas Department of Banking							
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			

Definitions:

Texas Records Retention Schedule (RRS)

Records Series Item Number (RSIN)

Texas State Library and Archives Commission (TSLAC)

Texas Department of Banking (DOB)

Personnel Policies and Procedures Manual (PP&PM)

3.4.004	199-04-07	Overtime Authorizations	2		2			
3.1.014	199-05-03	Employment Selection Records Includes notes of interviews with candidates, questions asked of applicants, audio and videotapes of job interviews, driving record and previous injury checks, pre-employment physical examinations, pre-employment drug screening test results, polygraph examination results, and all other records that document the selection process.	3		3	29 CFR 1602.31. CAUTION: Does not include criminal history checks. SEE item number 3.1.026.		
3.1.011	199-10-31	Employee Insurance Records Agency copies of information relating to the selection by employees of life, disability, health, and other types of insurance offered by the State of Texas to its employees.	AC		AC	AC = Until superseded or termination of employment. CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item number 3.2.001.		

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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Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

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2. Agency Code	451	3. Agency Name Texas Department of Banking							
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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5.6.004	199-10-32	License and Driving Record Checks	AC		AC	AC = Until superseded or until termination of employment.		
3.1.029	199-13-02	Employment Eligibility, Documentation or Verification of Federal reporting form (INS I-9).	AC+1		AC+1	AC = Termination of employment. CAUTION: Federal regulation requires that INS 1-9 forms be retained for 3 years from date of hire or 1 year after separation of the employee, whichever later. Agencies should make certain that the INS 1-9 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).		
1.2.003	199-13-03	Forms History File Print masters of original version and all subsequent revisions to an agency form, including any associated design or design modification requests.	AC+1		AC+1	AC = Discontinuance of use of form.		

Retention Codes (Field 7)	Archival Codes (Field 8)
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2. Agency Code	451	3. Agency Name Texas Department of Banking						
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5.4.012	199-14-05	Security Access Records 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.		
3.1.012	199-15-04	Employment Opportunity Announcements Internal or external announcements or advertisements of job openings, promotions, training programs, or opportunities for overtime.	AC+3		AC+3	AC= Close of job postings 29 CFR 1602.31. <u>Note:</u> Agency policy to retain longer than TSLAC minimum		
3.1.006	199-15-13	Employee Counseling Records Notes, memoranda, or reports relating to the counseling of an employee for work-related, personal, or substance abuse problems. Usually maintained at the supervisory level except in those agencies with counseling staff.	AC+3		AC+3	AC = Termination of employment. <u>Note:</u> Agency policy to retain longer than TSLAC minimum		

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Records Retention Schedule

SLR 105

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2. Agency Code 451		3. Agency Name Texas Department of Banking						
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			Agency	Storage	Total			

1.1.070	199-15-39A	Agency Rules, Policies, and Procedures - Final Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3		AC+3	R AC = Completion or termination of program, rules, policies, or procedures. SEE ALSO Agency Rules, Policies and Procedures - Working Files, 1.1.071.		
1.1.071	199-15-39B	Agency Rules, Policies, and Procedures - Working Files Working files used in the development of manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC+3		AC+3	R AC = Completion or termination of program, rules, policies, or procedures. SEE ALSO Records Series Item Number 1.1.070.		
3.2.010	199-16-05	Human Resources Information System (HRIS) Reports Includes supporting documentation.	AC+4		AC+4	AC = reporting period		

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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 451		3. Agency Name Texas Department of Banking							
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			

3.2.005	199-16-07	W-4 Forms Employer's copy of "Employees' Withholding Exemption Certificate."	AC+4		AC+4	AC = Until superseded, obsolete, or upon separation of employee. 26 CFR 31.6001-1 (e)(2).		
3.4	199-16-26	Time Cards and Time Sheets	AC+4		AC+4	Includes 3.4.006 and 3.4.007 and time off and sick leave requests. AC = After leaving employment 40 TAC 815.106(i). <u>Note:</u> Agency policy to retain longer than TSLAC minimum		
3.1.023	199-16-40	Position/Job Descriptions Job descriptions, including all associated task or skill statements, for positions in an agency.	AC+4		AC+4	AC = Until superseded or job eliminated. 40 TAC 815.106(i).		

Retention Codes (Field 7)				Archival Codes (Field 8)	
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2. Agency Code 451		3. Agency Name Texas Department of Banking							
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	199-17-08	<p>State Publications</p> <p>One copy of each state publication as defined on page 12 of this Texas State Records Retention 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+5		AC+5	<p>AC = Until superseded or obsolete. <u>Note:</u> Agency policy to retain longer than TSLAC minimum CAUTION: Many state publications must be submitted to the Texas State Publications Depository Program, Texas State Library and Archives Commission, by law (Government Code 441.101-441.106). 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)	
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2. Agency Code 451		3. Agency Name Texas Department of Banking							
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			

3.1.020	199-17-09	Personnel Corrective Action Documentation Corrective actions are those actions which do not affect pay, status, or tenure and are imposed to correct or improve an employee's job performance.	AC+5		AC+5	AC = Termination of employment. CAUTION: If, during the retention period of this records series, any part of this series is used to document and support personnel disciplinary action under item number 3.1.021, all documentation from this series used to support disciplinary action must be retained for the the minimum retention period described by item number 3.1.021.		
3.1	199-17-10	Personnel Information Evaluations, Commendations, Oath of Office, correspondence, conflict of interest, disclosure, outside employment, or business request, new employee checklist.	AC+5		AC+5	AC = Termination of employment. 29 CFR 1620.32(c)		

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2. Agency Code 451		3. Agency Name Texas Department of Banking							
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			Agency	Storage	Total	9. Remarks			

3.1.021	199-17-05	<p>Personnel Disciplinary Action Documentation</p> <p>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.		
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2. Agency Code 451		3. Agency Name Texas Department of Banking							
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			

3.1.026	199-10-06	Criminal History Checks Criminal history record information on job applicants or agency employees obtained from the Department of Public Safety (DPS).	AC		AC	AC = The criminal history record has served the immediate purpose for which it was obtained. CAUTION: An agency that is authorized to obtain criminal history record information from DPS must refer to its agency's legislation or see Subchapter F, Chapter 411, Government Code for appropriate retention and use of this information.		
3.2.009	199-17-11	State Deferred Compensation Records	AC+5		AC+5	AC = All accounts with a vendor or vendors for the individual participant have been closed. For instructions regarding the determination of the closure of accounts and for additional information regarding the retention period see the most current edition of the <i>Benefits Coordinator Reference Manual</i> issued by the Employees Retirement System of Texas. Deferred Comp Plan Memo #20, Texas State Comptroller (8/14/89)		

Retention Codes (Field 7)	Archival Codes (Field 8)
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2. Agency Code 451		3. Agency Name Texas Department of Banking							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks			

3.1.018	199-17-12	Grievance Records Records relating to the review of employee grievances against personnel policies, working conditions, etc.	AC+5	AC+5	AC = Final decision on the grievance. <u>Note:</u> Agency policy to retain longer than TSLAC minimum 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.		
3.1.038	199-80-17	Public Access Option Form Form completed and signed by employee or official or former employee or official, electing to keep home address, home telephone number, social security number, and family information open or confidential under the Public Information Act, Government Code 552.024.	US	US	See item number 3.3.011.		
3.1.002	199-17-20	Applications for Employment - Hired Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.	AC+5	AC+5	AC = Termination of employment		

Retention Codes (Field 7)	Archival Codes (Field 8)
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SLR 105

Form SLR 105C must accompany this form.

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2. Agency Code 451		3. Agency Name Texas Department of Banking						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			

3.3.011	199-11-01	Former Employee Verification Records Minimum information needed to verify employment, includes name, social security number, exact dates of employment, last known address and most recent public access option form.	AC+75	AC+75	AC = Termination of employment. See itemnumber 3.1.038.		
3.3.015	199-82-03	Positions/Job Classification Review File Records relating to review and monitoring of job classifications within an agency.	US+3	US+3			
5.4.001	199-43-15	Accident Reports and Associated Documentation 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.		
5.4.007	199-43-16	Hazardous Materials Training Records Records of training given employees in an agency hazard communications program.	CE+5	CE+5	Texas Health and Safety Code, 502.009(g).		
5.4.009	199-44-18	Workplace Chemical Lists	30	30	Texas Health and Safety Code, 502.005(d).		
5.2.020	199-50-19	Supply Usage Records	FE+1	FE+1			

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

3.4.002	199-52-04	Leave Status Reports Cumulative report is issued each pay cycle and provides employee leave status information for each position.	AC+4	AC+4	AC = After pay cycle closed.		
4.1.005	199-52-05	Inventory and Other Cost Files Production, job, labor, quotes, pricing, specifications, etc.	FE+3	FE+3			
3.1.001	199-52-20	Applications for Employment - Not Hired Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.	FE+3	FE+3	<u>Note:</u> Agency policy to retain longer than TSLAC minimum 29 CFR 1602.31. Associated with 3.1.014 Employment selection records.		
5.2.014	199-52-21	Inventory - Annual Physical Property, equipment, supply verification.	FE+3	FE+3			
3.3.031	199-52-22	EEO Reports and Supporting Documentation Includes documentation used to complete EEO reports.	FE+3	FE+3	29 CFR 1602.32, 1602.39, 1602.41, 1602.48, and 1602.50.		
3.4.008	199-52-25	Sick Leave Pool Documentation Requests submitted, approvals, number of hours transferred in and out, etc.	FE+3	FE+3			

Retention Codes (<i>Field 7</i>)				Archival Codes (<i>Field 8</i>)	
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2. Agency Code 451		3. Agency Name Texas Department of Banking							
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3.3.001	199-54-27	Recruitment/Workforce Diversity Plan Plans for both regular employees and apprenticeship programs.	FE+5		FE+5	29 CFR 30.8(e) for apprenticeship plans.		
3.1.019	199-04-28	Performance Appraisals (Covered under Chapter 5, PP&PM)	2		2	29 CFR 1620.32(c).		
5.1.004	199-80-29	Mail and Telecommunications Listings Any mailing address, telephone or fax number, or e-mail address records maintained by an agency on its employees or on entities or persons it serves.	US		US			
5.4.013	199-80-30	Disaster Preparedness and Recovery Plans	US		US			
1.2.004	199-80-33	Forms Inventory Any periodic listing of all forms used internally or externally by an agency.	US		US			
5.1.004	199-80-34	Mail and Telecommunications Listings Any mailing address, telephone or fax number, or e-mail address records maintained by an agency on its employees or on entities or persons it serves.	US		US	(Quarterly Bank Report, Banks, Trust, Corporate, Act., etc.)		
5.1.004	199-80-35	Mail and Telecommunications Listings Any mailing address, telephone or fax number, or e-mail address records maintained by an agency on its employees or on entities or persons it serves.	US		US	Employee Mailing List		

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Archival Codes (Field 8)

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 R – Review by State Archivist



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SLR 105

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2. Agency Code	451	3. Agency Name	Texas Department of Banking		
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5.6.009	199-80-36	Parking Permits or Assignments	US	US			
3.3.004	199-81-37	Benefit Plans Employee benefit plans such as pension; life, health, and disability insurance; deferred compensation; etc., including amendments.	US+1	US+1	29 CFR 1627.3(b)(2).		
3.3.024	199-82-01	Personnel Policies and Procedures Any internally distributed manuals, guidelines, or similar records that define agency wide policies and procedures concerning the personnel of an agency.	US+3	US+3			
3.3.026	199-82-38	Agency Staffing Reports Any reports compiled by an agency on aspects of personnel staffing, including listings of all staff by program or name, staff hired during a month, detailed listings of employees within its organizational structure, position vacancies, analyses of turnover rates and seasonality of employment, etc.	US+3	US+3			

<p><i>Retention Codes (Field 7)</i></p> <p>AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value CE – Calendar Year End FE – Fiscal Year End LA – Life of Asset MO – Months PM – Permanent US – Until Superseded</p>	<p><i>Archival Codes (Field 8)</i></p> <p>A – Transfer to State Archives R – Review by State Archivist</p>
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4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks			

1.1.026	299-13-02	Texas Register Submissions Copies of all proposed, withdrawn, emergency, and adopted rules; open meetings notices; or any other documents required by law to be submitted to the Texas Register.	AC+1		AC+1	AC = Date of publication in the Texas Register.		
1.1.027	299-16-10	Proposed Legislation Drafts of proposed legislation and related analysis and correspondence.	AC		AC	AC = Purpose of record has been fulfilled.		
1.1.020	299-18-03	Public Information Requests - Not Exempted Includes all correspondence and documentation relating to requests for records that are furnished to the public under Public Information Act (Chapter 552, Government Code).	AC+1		AC+1	AC = Date request fulfilled.		
1.1.073	299-20-01	Administrative Hearings Transcripts and final decisions of hearings conducted as part of the regulatory process, and hearings on proposed rules and changes. The records may be maintained with related information including meeting notices, proofs of publication, and meeting minutes. Includes contested case hearing records.	AC+3		AC+3	AC = Last action and all statute of limitations met.		

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



STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

2. Agency Code 451		3. Agency Name Texas Department of Banking							
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			

1.1.021	299-20-05	Public Information Requests - Exempted Includes all correspondence and documentation relating to requests for records that are exempt under the Public Information Act (Chapter 552, Government Code).	AC+2		AC+2	AC = Date of notification that records are exempt. (see agency item #299-18-03)		
1.1.048	299-20-06	Litigation Files Records created by or on behalf of an agency in anticipation of or in the adjudication of a lawsuit.	AC+3		AC+3	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. All statute of limitations must be met before the file is closed. <u>Note:</u> Agency policy to retain longer than TSLAC minimum 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.		

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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Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page **17** of **43**

2. Agency Code	451	3. Agency Name	Texas Department of Banking		
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4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

1.1.014	299-30-07	Legal Opinions and Advice From agency legal counsel or the Attorney General, including any requests eliciting the opinions.	AC+3		AC+3	R AC = Purpose of record has been fulfilled. 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.		
1.3.002	299-30-08	Publication Development Files Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AC		AC	R AC = Purpose of record has been fulfilled.		
1.1.063	299-03-09	Staff Meeting Minutes and Notes Minutes or notes, and supporting documentation, taken at internal agency staff meetings.	1		1			
1.1.007	299-36-11	Legal Correspondence Attorney & Legal Chronological Reading file.	AC+3		AC+3	R AC = After event finalized		
	299-70-12	Banking Commissioner Opinions Issued Formal legal Opinions and Agency opinions from agency legal counsel.	PM		PM	R The Texas Finance code §31.103		

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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Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

2. Agency Code 451		3. Agency Name Texas Department of Banking							
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			

1.1.072	299-04-02	Public Information Reports Reports made to the Office of the Attorney General on an agency's Public Information Act activities.	2		2				
1.1.058	299-70-13	Meeting Agenda and Minutes Official agenda and minutes of state boards, committees, commissions, and councils that conduct open meetings as required by Government Code, Chapter 551.	PM		PM		A	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. Note: Send appropriate copies also to the Legislative Reference Library, Governor's Office, as well as to TSLAC. 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.	

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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Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

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2. Agency Code 451		3. Agency Name Texas Department of Banking							
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			

	399-15-01	Conservator/Supervisor Files--by bank	AC+25		AC+25		AC = No longer needed due to bank closure or improvement.		
	399-18-03	Examination Workpapers. Line sheets, etc.	AC+6		AC+6		AC = After examination closed U.S. Code, Title 18		
	399-84-04	Trust/Private Bank Liquidation files	AC+7		AC+7		AC = After company liquidated		
1.1.007	399-20-06	Regulatory Correspondence (Bank, Trust, Electronic Data Processing, Bank Holding Co.) (Includes general and administrative types, Criminal Referrals, Publisher's State/Rpt of Condition, and Assessments)	AC+15		AC+15	R	AC = Date of event		
	399-85-02	Bank, Trust, Bank Holding Co., and Electronic Data Processing Exam Reports, Work papers and regulatory Correspondence – CLOSED BANKS	AC+25		AC+25	R	AC = Bank charter terminated.		
	399-85-05	Bank, Trust, Bank Holding Co., and Electronic Data Processing Exam Reports, Trust call reports – OPEN BANKS	AC+25		AC+25		AC = After date of report		
	399-42-07	Management Information System (MIS) Liquidation Reports, Closed Account Notification System (CANS) electronic data	CE+3		CE+3				
4.2	399-52-08	Orders for Texas Finance Codes, etc	FE+3		FE+3				

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



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Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

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2. Agency Code	451	3. Agency Name	Texas Department of Banking		
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4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

1.2.010	499-86-01	Records Disposition Logs 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		
1.2.013	499-10-08	Records Control Locator Aids 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.	
3.1	499-13-02	Training Requests	AC+1		AC+1	AC = New Individual Training Profiles (ITP's) received	
1.2.006	499-14-04	Records Transmittal Forms Agency copy (includes RMD 101, Tx-R-5, 306-58-1, and Agency Storage Forms). Forms indicate records transferred to storage or a transfer of legal custody.	AC+2		AC+2	AC = Date of authorization for destruction, permanent transfer from storage, or transfer to the Archives and Information Services Division, Texas State Library and Archives Commission, by the agency records management officer.	

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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Records Retention Schedule

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Form SLR 105C must accompany this form.

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2. Agency Code 451		3. Agency Name Texas Department of Banking							
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				

3.1.027	499-17-05	Training and Educational Achievement Records (Individual) Certificates of completion, transcripts, test scores, or similar records documenting the training, testing, or continuing education achievements of an employee.	AC+5	AC+5	AC = Termination of employment.		
1.1.006	499-15-03	Complaint Records Complaints received by an agency from the public concerning the agency and records pertaining to the resolution of the complaint.	AC+2	AC+2	AC = Final disposition of the complaint. 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.		
1.2.008	499-52-06	Request for Authority to Dispose of State Records (RMD 102) Agency copy.	FE+3	FE+3	Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission.		
1.2.011	499-80-07	Record Center Storage Approval Forms (RMD 106) Agency copy.	US	US			
1.2.012	499-80-09	Records Inventory Worksheets	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



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Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

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2. Agency Code	451	3. Agency Name	Texas Department of Banking		
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4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

1.2.005	499-80-10	Records Retention Schedule (SLR 105) Agency copy. Formerly RMD 105. Includes documentation of certification and approval - forms SLR 105C (formerly RMD 105C), and/or other forms designated by the State Records Administrator.	US	US	Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission.		
1.1.043	499-81-11	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US+1	US+1			
1.2.014	499-81-12	Records Management Plans 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			
3.2.002	599-87-01	Employee Earnings Records	4	4	40 TAC 815.106(i).		
3.2.001	599-16-01	Employee Deduction Authorizations 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.		

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



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Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

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2. Agency Code 451		3. Agency Name Texas Department of Banking							
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			

3.2.003	599-16-02	Federal Tax Records Includes 1099, W2, FICA, and other tax records.	AC+4		AC+4	AC = Tax due date, date the claim is filed, or date tax is paid whichever is later. (USPS) 26 CFR 31.6001 - 1(e)(2).		
5.1.001	599-16-03	Contracts and Leases Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted 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.		
3.2	599-16-05	Payroll Reports Texas Workforce Commission (TWC) Employer's Quarterly Wage Report Retirement Contributions Reconciliation Report, Federal Tax/Withholding & Social Security Report, Payroll Ledgers	AC+4		AC+4	AC = Expiration of payroll reporting periods.		
3.2	599-16-06	Payroll Reports Insurance Report	AC+4		AC+4	AC = Expiration of payroll reporting periods.		

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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Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

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2. Agency Code 451		3. Agency Name Texas Department of Banking							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks			

3.1.035	599-16-07	Performance Bonds Bonds posted by employees and individuals or entities under contract with an agency for the performance of the duties of a position or the terms of a contract with the agency.	AC+4		AC+4	AC = Expiration or termination of the bond according to its terms. CAUTION: Does not include construction or architectural surety bonds.		
3.2.007	599-17-08	Unemployment Compensation Records	AC+5		AC+5	AC = Claim filed		
4.5.003	599-18-09	Annual Financial Reports 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.		

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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Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page **25** of **43**

2. Agency Code 451		3. Agency Name Texas Department of Banking							
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			

5.2.002	599-19-11	Building Construction Project Files Planning, design, and construction records; accepted and rejected bids; correspondence; etc.	AC+10		AC+10	R	AC = Completion of project. SEE ALSO item number 5.2.003.		
5.5.002	599-30-12	Long Distance Telephone Logs Long distance logs created by agencies for internal documentation purposes. Includes any similar logs created for long distance facsimile or electronic transmissions.	AC		AC		AC = Purpose of record has been fulfilled.		
5.1.007	599-30-13	Requisitions for In-Agency or Inter-Agency Copy/Printing Service Includes word processing and data processing.	AC		AC		AC = Purpose of record has been fulfilled.		

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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SLR 105

Form SLR 105C must accompany this form.

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2. Agency Code 451		3. Agency Name Texas Department of Banking							
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			

1.1.004	599-18-10	Legislative Appropriation Requests Including any supporting documentation created and/or used to justify and support legislative appropriations requests by an agency. (Includes biennial budget, supporting documentation, appropriation workpapers, Automated Budget Evaluation System of Texas (ABEST) Qtr. Performance Measure Reports, and Uniform Statewide Accounting System (USAS)/ABEST Qtr. Reconciliation's).	AC+6	AC+6	A	AC = September 1 of odd-numbered calendar years. ARCHIVES NOTE: The archival requirement is met by sending the required copies of the requests to the Texas State Publications Depository Program, Texas State Library and Archives Commission. Only copies of supporting documentation submitted to the Legislative Budget Board are archival.		
4.2.005	599-52-08	Purchase Vouchers Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE+10	FE+10				
4.7.011	599-52-11	Texas Facilities Commission Statements (TFC) Charge or bill statements received by agencies from the TBPC for services provided.	FE+3	FE+3				
4.1.001	599-52-14	Accounts Payable Information Includes Texas Facilities Commission statements.	FE+3	FE+3				

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

SLR 105

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2. Agency Code 451		3. Agency Name Texas Department of Banking							
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	599-52-15	Accounts Payable Ledgers Disbursements journal, Credit Card Account-employee contracts, monthly statements.	FE+10		FE+10			
4.4.002	599-52-16	Accounts Receivable Ledgers (Revenue Journal, Remittance Listing)	FE+7		FE+7			
4.4.004	599-52-17	Employee Savings Bond Ledgers	FE+3		FE+3			
4.5.006	599-52-18	Annual Operating Budgets Required by the General Appropriations Act.	FE+3		FE+3			
4.2.007	599-52-20	Expenditure Vouchers Travel, payroll, etc.	FE+10		FE+10			
4.6.002	599-52-21	Reconciliations Including bank reconciliations	FE+3		FE+3			
4.1.003	599-52-22	Canceled Checks/Stubs/Warrants/Drafts (Includes Warrant Register)	FE+3		FE+3			
5.2.007	599-52-23	Damage Reports Reports of damage to state property.	FE+3		FE+3			
4.2.001	599-52-24	Cash Deposit Vouchers Cash deposit slips. (Cash and lockbox)	FE+3		FE+3			
4.4.001	599-52-25	General and Subsidiary Ledgers	FE+3		FE+3			
4.2.006	599-52-26	General Journal Vouchers	FE+3		FE+3			
4.5.002	599-52-27	Internal Fiscal Management Reports Includes agency monthly budget reports.	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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Records Retention Schedule

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2. Agency Code		3. Agency Name		7. Retention Period		8. Archival		10.	11.
451		Texas Department of Banking							TSLAC ONLY
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title		Agency	Storage	Total	9. Remarks	106 No.	Amend. No.
4.5.001	599-52-28	Worksheets for Preparing Fiscal Reports		FE+3		FE+3			
4.2.007	599-52-29	Expenditure Vouchers – Travel Advance (Workpapers and reconciliations)		FE+10		FE+10			
5.5.001	599-52-31	Billing Detail - Telecommunications (Other Than TEX-AN) In addition to summary detail, includes any accompanying detailed listing of long distance calls.		FE+ 3		FE+3			
5.3.007	599-52-30	Bid Documentation 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.		
4.2.007	599-55-31	Expenditure Vouchers (Travel and Payable)		FE+10		FE+10			
5.2.003	599-60-32	Building Plans and Specifications Includes architectural and engineering drawings, profiles, and blueprints.		State owned: LA+1 Leased: AC+2		State owned: LA+1 Leased: AC+2	AC: For leased buildings, AC = Termination or cancellation of lease. SEE ALSO item number 5.2.002. ARCHIVES NOTE: Archival review designation is for state-owned buildings only.		

Retention Codes (Field 7)	Archival Codes (Field 8)
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2. Agency Code 451		3. Agency Name Texas Department of Banking							
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			

4.7.004	599-61-33	Capital Asset Records	LA+3		LA+3			
5.2.008	599-61-34	Equipment History File; Equipment Service Agreements Agreements or contracts between the agency and equipment vendor to provide maintenance service for equipment. Includes requests for installation, moves, service, etc.; and service/repair logbooks, etc.	LA+3		LA+3			
1.1.066	599-70-35	Reports - Biennial or Annual Agency (Narrative) Biennial narrative reports to the governor and legislature as required by an agency's enabling statutes, including annual narrative reports if they are required by statute.	PM		PM	A	Note: Agency policy to retain longer than TSLAC minimum 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.	
3.2.008	599-80-36	Direct Deposit Application/Authorizations	US		US			
3.3.004	599-81-37	Benefit Plans – Tex Flex 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).	
4.7.009	599-82-38	Fixed Asset Sequential Number Logs	US+3		US+3			

Retention Codes (Field 7)	Archival Codes (Field 8)
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2. Agency Code 451		3. Agency Name Texas Department of Banking							
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			

	699-30-02	Corporate Activities, Opinions, Debentures, Other Regulatory Notices	AC		AC		AC = Purpose of record has been fulfilled.		
	699-30-03	Bidders Lists – Banks and Savings & Loan	AC		AC		AC = Purpose of record has been fulfilled.		
	699-41-04	Registrations (Non-Branch) Loan Production offices (LPO's), Automated Teller Machines (ATM's), Rep offices, 902's etc.	CE+2		CE+2				
	699-41-05	Bidders Packets – Banks and Savings & Loan, Financial Information of Bidders	CE+2		CE+2				
	699-42-06	Applications (all types) Bank, Trust, and Electronic Data Processing	CE+3		CE+3	R			
1.1.008	699-50-07	Correspondence - General Non-administrative incoming/outgoing and internal correspondence, in any media, pertaining to or arising from the routine operations of the policies, programs, services, or projects of an agency.	2		2		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.		

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 451		3. Agency Name Texas Department of Banking							
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			

1.1.064	699-52-08	Agency Performance Measures Documentation Any records of an agency needed for the documentation of output, outcome, efficiency, and explanatory measures in an agency's appropriations request or strategic plan, and for performance measures used to manage the agency.	FE+3	FE+3	R	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.		
	699-70-09	Bank/Trust Articles of Association	PM	PM	R			
	699-70-10	Banking Board Materials, Minutes, Packets	PM	PM	R			
	699-70-11	Approval Letters Includes any response including approving, denying or not objecting to any application, notice or other filing or any other request for approval by the Department or Commissioner that is processed by Corporate.	CE+25	CE+25	R			
	799-88-11	Currency Exchange (CEX) Fingerprint Cards	50	50				
	799-15-12	Special Audits Exams – Workpapers	AC+3	AC+3		AC = Exam completed		
	799-19-09	Money Service Businesses (MSB) OPEN License Files (used to be Sale of check (SOC))	AC+10	AC+10		AC = date of event		

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

	799-19-10	Currency Exchange (CEX) - Open	AC+10		AC+10	AC = date of event		
	799-19-01A	Perpetual Care Cemeteries (PCC) Licensee Files Open	AC+10		AC+10	AC = date of event		
	799-19-01B	PCC Licensee Files – CLOSED (Seized Funds, Closed Cemeteries)	AC+10		AC+10	AC = Date the license file closed.		
	799-19-02	Prepaid Funeral Contract (PFC) Licensee Files Open	AC+10		AC+10	AC = date of event		
	799-19-11	MSB Licensee Files Correspondence (used to be Sale of check (SOC))	AC+10		AC+10	AC = date of event		
	799-19-03	PFC Licensee Files Closed	AC+10		AC+10	AC = Date the license file closed.		
	799-19-04	MSB Licensee Files Closed (used to be Sale of check (SOC))	AC+10		AC+10	AC = Date the license file closed.		

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



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			Agency	Storage	Total	9. Remarks			

799-19-05	CEX Licensees Files Closed	AC+10		AC+10	AC = Date the license file closed.		
799-19-06	Perpetual Care Cemetery (PCC) Annual Statements	AC+10		AC+10	AC = date of filing		
799-19-07	CEX Exempted – Licensee Files	AC+10		AC+10	AC = date of event		
799-19-08	Prepaid Funeral Contracts (PFC) Annual Reports	AC+10		AC+10	AC = date of filing		
799-50-08	Special Audits Management Information System (MIS) Reports	FE+1		FE+1			
799-52-09	PFC Withdrawals	FE+3		FE+3	Statute Requiring Submission/ Processing Repealed, Effective 8/31/93.		
799-52-10	Prepaid Guaranty Fund-Statements and Activity	FE+3		FE+3			
799-19-12	Cemetery Brokers	AC+10		AC+10	AC = date of event		
799-19-13	Private Child Support Enforcement Agencies	AC+10		AC+10	AC = date of event		
799-19-14	Check Verification Entities	AC+10		AC+10	AC = date of event		

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

1.1.062	899-04-02	Meetings - Supporting Documentation Documents submitted at meetings of state boards, commissions, committees, and councils including exhibit items, documentation for agenda items, etc. Includes documents sent in advance of meetings for briefing purposes, some of which may not be submitted at an actual meeting.	2	2	A	SEE caution comment at item number 1.1.058.		
1.1.019	899-04-03	Public Relations Records News, press releases, or any public relations files maintained or issued by an agency. Includes print, electronic, audio, and audiovisual records.	2	2	R			
1.1.067	899-05-04	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	3	R	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	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 451		3. Agency Name Texas Department of Banking							
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			

1.1.060	899-12-05	Meetings, Audio or Videotapes of Open 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. CAUTION: 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	899-12-06	Meeting - Notes Notes taken during open meetings of state boards, commissions, committees, and councils from which written minutes are prepared.	AC+90 days	AC+90 days	AC = Approval of the formal minutes by the governing body. SEE caution comment at item number 1.1.058.		

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 451		3. Agency Name Texas Department of Banking							
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			

1.1.059	899-14-01	Meetings, Certified Agendas or Tape Recordings of Closed 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.		
1.1.055	899-18-07	Strategic Plans Information resources and operational strategic plans prepared in accordance with 2054.095 and 2056.002, Government Code.	AC+6	AC+6	A 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.		
1.1.065	899-30-08	Reports and Studies (Non-Fiscal) - Raw Data Information or data collected and compiled for the purpose of producing non-fiscal reports.	AC	AC	AC = Purpose of record has been fulfilled. 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.		

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



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2. Agency Code **451** 3. Agency Name **Texas Department of Banking**

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			

2.2.004	999-02-01	Computer Job Schedules and Reports 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			
1.1.057	999-03-02	Telephone Message Log	1 year		1 year	Records series 5.1.016 deleted and became part of series 1.1.057.		
1.1.007	999-06-15	Executive Correspondence Executive Chronological Reading file.	20		20	R Executive Division Chronological File Incoming and outgoing documents to/from commissioners.		

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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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	999-88-04	<p>Correspondence - Administrative Incoming/outgoing and internal correspondence pertaining to the formulation, planning, implementation, interpretation, modification, or redefinition of the programs, services, or projects of an agency and the administrative regulations, policies, and procedures that govern them.</p>	50		50	<p><i>Note:</i> Agency policy to retain longer than TSLAC minimum 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. 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) AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value CE – Calendar Year End FE – Fiscal Year End LA – Life of Asset MO – Months PM – Permanent US – Until Superseded	Archival Codes (Field 8) A – Transfer to State Archives R – Review by State Archivist
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			Agency	Storage	Total	9. Remarks			
1.1.008	999-05-10	Correspondence - General Non-administrative incoming/outgoing and internal correspondence, in any media, pertaining to or arising from the routine operations of the policies, programs, services, or projects of an agency.	3		3	<u>Note:</u> Agency policy to retain longer than TSLAC minimum SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.			
1.1.040	999-10-03	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC		AC	R AC = End of term in office or termination of service in a state position.			

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



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2. Agency Code 451		3. Agency Name Texas Department of Banking							
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	999-10-05	<p>Transitory Information</p> <p>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)	
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	A – Transfer to State Archives	
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2. Agency Code 451		3. Agency Name Texas Department of Banking							
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			

1.1.053	999-13-06	Registration Logs Logs or similar records used to register persons appearing before state agencies as required by Chapter 2004, Government Code, including quarterly reports filed with the Texas Ethics Commission.	AC+1		AC+1	AC = Report filed with the Texas Ethics Commission.		
1.1.068	999-18-04	Reports on Performance Measures 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.		
1.1.002	999-84-03	Audits Audits and reviews performed by or on behalf of an agency, including the working papers that support the audit. Also includes audits performed on the agency.	AC+7		AC+7	AC = Publication or release of final audit findings. The State Auditor's Office retains any copies of its audits performed on Texas state agencies.		

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

1.1.013	999-40-07	<p>Calendars, Appointment and Itinerary Records</p> <p>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	<p>R</p> <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>		
1.1.063	999-50-08	<p>Staff Meeting Minutes and Notes</p> <p>Minutes or notes, and supporting documentation, taken at internal agency staff meetings.</p>	FE+1		FE+1			

Retention Codes (Field 7)	Archival Codes (Field 8)
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2. Agency Code	451	3. Agency Name						Texas Department of Banking					
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	999-51-09	Public Relations Records News, press releases, or any public relations files maintained or issued by an agency. Includes print, electronic, audio, and audiovisual records.	FE+25		FE+25	R			
1.1	999-70-11	Testimony - Legislative	PM		PM				
1.1.023	999-80-12	Organization Charts	US		US	A			
1.1.010	999-82-13	Directives Any document that officially initiates, rescinds, or amends general office procedures.	US+3		US+3		Note: Agency policy to retain longer than TSLAC minimum		
1.1.011	999-82-14	Executive Orders Any document that initiates, rescinds, or amends a regulation, policy, or procedure that governs the programs, services, or projects of an agency.	US+3		US+3	A			

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