



STATE OF TEXAS

Records Retention Schedule Certification

SLR 105C

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

Section 1. Agency Information

(Submitting agencies complete this section only)

Agency Code 466

Agency Name Office of Consumer Credit Commissioner

(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 Sue Jevning

Name (Print or type) Sue Jevning

Date 5/6/13

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 Donna Osborne

Name (Print or type) Donna Osborne

Date 8/27/13

Cert/Recert No. 5 Amendment No. 4

CAUTION

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

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





STATE OF TEXAS

Records Retention Schedule Amendment

SLR 122

Form SLR 105C must accompany this form.

1. Page 1 of 2

2. Agency 466 Code		3. Agency Name Office of Consumer Credit Commissioner								
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			Page No.	Agency Item No.	

1.1	LIC.3	License Applications – Denied Business	AC	5	AC+5	AC = End of calendar year after account closed.	95-466-003	23	LIC.3	C
1.1	LIC.4	License Applications – Withdrawn Business	AC	5	AC+5	AC = End of calendar year after account closed.	11-466-006	23	LIC.4	C
1.1	LIC.5	License Files – Businesses Includes correspondence, license files, and License Database.	AC	5	AC+5	AC = End of calendar year after account closed which includes cancellations, transfers, revocations, etc. NOTE: LIC 2 License Records Database was rolled into this record series.	95-466-002	23	LIC.5	C
1.1	LIC.6	License Files – Pawnshop Employee Includes correspondence, license files, and Pawnshop Employee Database.	AC	5	AC+5	AC = End of calendar year after account closed.	00-466-004	23	LIC.6	C

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



STATE OF TEXAS

Records Retention Schedule Amendment

SLR 122

Form SLR 105C must accompany this form.

1. Page 2 of 2

2. Agency 466 Code		3. Agency Name Office of Consumer Credit Commissioner								
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			Page No.	Agency Item No.	

1.1	LIC.13	License Files – Pawnshop Employee – Denied	AC	5	AC+5	AC = End of calendar year after account closed..	05-466-005	24	LIC.13	C
1.1	LIC.14	License Files – Pawnshop Employee – Withdrawn	AC	5	AC+5	AC = End of calendar year after account closed.	11-466-007	24	LIC.14	C

Retention Codes (Field 7)			Archival Codes (Field 8)		Amendment Codes (Field 12)	
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	MO – Months	A – Transfer to State Archives	N – New		
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January 3, 2013

Ms. Joann McAnally
Administrative Assistant
Texas Consumer Credit Commissioner
2601 N. Lamar Blvd.
Austin, TX 78705-4207

Re: Texas Consumer Credit Commissioner
5th Recertification, Amendment Number 3

Dear Ms. McAnally:

Enclosed are approved amendment pages to your records retention schedule. Please maintain these pages with your currently approved schedule so that they can be easily referenced.

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

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

Thank you again for your commitment to complying with state records management laws and regulations. If we can provide any assistance to you, please call the information analyst assigned to your agency, Michael Reagor, at 512-463-5494.

Sincerely,

Craig Kelso
Director and State Records Administrator

Enclosure
cc: State Auditor, State Archivist
cc: (without enclosure) Leslie L. Pettijohn

State and Local
Records Management

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

4400 Shoal Creek Blvd.
Austin, Texas
78756

www.rsl.state.tx.us

Commission Chairman
Michael C. Waters

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

*Interim
Director and Librarian*
Edward Seidenberg

*Preserving yesterday,
informing today,
inspiring tomorrow.*

R01-466/466



STATE OF TEXAS Records Retention Schedule Certification

SLR 105C

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

MR

Section 1. Agency Information

(Submitting agencies complete this section only)

Agency Code 466

Agency Name Office of Consumer Credit Commissioner

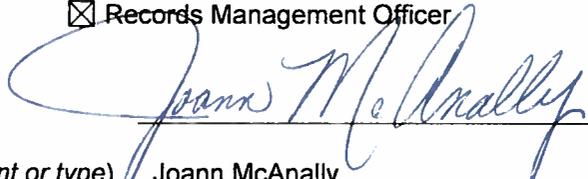
(Check one)

- Initial Certification - Form SLR 105
- Recertification - Form SLR 105
- Amendment - Form SLR 122

I hereby certify that this records retention schedule was prepared in accordance with Texas Government Code, Chapter 441, Subchapter L.

(Check one)

- Agency Head
- Records Management Officer

Signature 

Name (Print or type) Joann McAnally

Date 09/18/12

Section 2. Approvals

(Submitting agencies do not write in this section)

State Auditor's Office

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

Signature _____

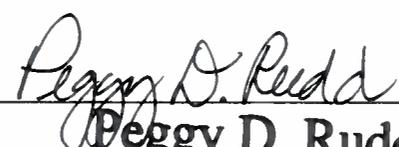
Name (Print or type) _____

Date _____

Not Required at This Time

Texas State Library and Archives Commission

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

Signature 

Name (Print or type) Peggy D. Rudd

Date 11/28/12

Cert/Recert No. 5 Amendment No. 3

CAUTION

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

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





STATE OF TEXAS

Records Retention Schedule Amendment

SLR 122

Form SLR 105C must accompany this form.

1. Page 1 of 1

2. Agency 466 Code		3. Agency Name Office of Consumer Credit Commissioner									
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks	Page No.		Agency Item No.		

1.1.006	E.10	Investigation Records Complaints received by the agency from the public concerning the regulated industry of the agency and records pertaining to the resolution of the complaint.	AC+2		AC+2	AC = End of fiscal year after final disposition of investigation. 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.		17	E.10	C
1.1.006	E.11	Investigation Records Database Investigation Database. Database of complaints received by the agency from the public concerning the regulated industry of the agency and records pertaining to the resolution of the complaint.	AC+3		AC+3	AC = End of fiscal year after final disposition of investigation. 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. NOTE: E.11 The Investigation Records Database retention period is to parallel with E.1 Complaint Records Database.				N

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



December 15, 2011

Ms. Joann McAnally
Administrative Assistant
Texas Consumer Credit Commissioner
2601 N. Lamar Blvd.
Austin, TX 78705-4207

Re: Texas Consumer Credit Commissioner
5th Recertification, Amendment Number 2

Dear Ms. McAnally:

Enclosed are approved amendment pages to your records retention schedule. Please maintain these pages with your currently approved schedule so that they can be easily referenced.

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

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

Thank you again for your commitment to complying with state records management laws and regulations. If we can provide any assistance to you, please call the information analyst assigned to your agency, Michael Reagor, at 512-463-5494.

Sincerely,

Sarah Jacobson
Manager, Records Management Assistance

Enclosure

cc: State Auditor, State Archivist
cc: (without enclosure) Leslie L. Pettijohn

State and Local
Records Management

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

4400 Shoal Creek Blvd.
Austin, Texas
78756

www.tsl.state.tx.us

Commission Chairman
Sandra J. Pickett

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

Director and Librarian
Peggy D. Rudd

Assistant State Librarian
Edward Seidenberg

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STATE OF TEXAS
Records Retention Schedule Certification

MR
 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 466

Agency Name Office of Consumer Credit Commissioner

(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 *Joann McAnally*

Name (Print or type) Joann McAnally

Date 11/28/2011

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 *Peggy D. Rudd*

Name (Print or type) Peggy D. Rudd

Date 12/12/11

Cert/Recert No. 5 Amendment No. 2

CAUTION

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

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





December 20, 2011

Ms. Joann McAnally
Administrative Assistant
Texas Consumer Credit Commissioner
2601 N. Lamar Blvd.
Austin, TX 78705-4207

State and Local
Records Management

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

4400 Shoal Creek Blvd.
Austin, Texas
78756

www.tsl.state.tx.us

Commission Chairman
Sandra J. Pickett

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

Director and Librarian
Peggy D. Rudd

Assistant State Librarian
Edward Seidenberg

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Re: Texas Consumer Credit Commissioner
5th Recertification, Amendment Number 1

Dear Ms. McAnally:

Enclosed are approved amendment pages to your records retention schedule. Please maintain these pages with your currently approved schedule so that they can be easily referenced.

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

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

Thank you again for your commitment to complying with state records management laws and regulations. If we can provide any assistance to you, please call the information analyst assigned to your agency, Michael Reager, at 512-463-5494.

Sincerely,

Sarah Jacobson
Manager, Records Management Assistance

Enclosure
cc: State Auditor, State Archivist
cc: (without enclosure) Leslie L. Pettijohn



STATE OF TEXAS
Records Retention Schedule Certification

SLR 105C

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

Section 1. Agency Information

(Submitting agencies complete this section only)

Agency Code 466

Agency Name Office of Consumer Credit Commissioner

(Check one)

- Initial Certification - Form SLR 105
- Recertification - Form SLR 105
- Amendment - Form SLR 122

I hereby certify that this records retention schedule was prepared in accordance with Texas Government Code, Chapter 441, Subchapter L.

(Check one)

- Agency Head
- Records Management Officer

Signature 

Name *(Print or type)* Joann McAnally

Date 11/09/2011

Section 2. Approvals

(Submitting agencies do not write in this section)

State Auditor's Office

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

Signature _____

Name *(Print or type)* _____

Date _____

Not Required at This Time

Texas State Library and Archives Commission

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

Signature 

Name *(Print or type)* Peggy D. Rudd

Date 12/16/11

Cert/Recert No. 5 Amendment No. 1

CAUTION

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

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





STATE OF TEXAS

Records Retention Schedule Amendment

SLR 122

Form SLR 105C must accompany this form.

1. Page 1 of 1

2. Agency 466 Code		3. Agency Name Office of Consumer Credit Commissioner								
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Page No.	

4.	5.	6.	7.			8.	10.	11.		12.
Records Series Item No.	Agency Item No.	Record Series Title	Agency	Storage	Total	Archival	106 No.	Page No.	Agency Item No.	Amend. Type
1.1	LIC.5	License Files – Businesses Includes correspondence, license files, and License Database.	AC+1	4	AC+5	AC = End of fiscal year after account closed which includes cancellations, transfers, revocations, etc. NOTE: LIC.2 License Records Database was rolled into this record series.	95-466-002	23	LIC.5	C

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



October 11, 2011

Ms. Joann McAnally
Administrative Assistant
Texas Consumer Credit Commissioner
2601 N. Lamar Blvd.
Austin, TX 78705-4207

RE: Texas Consumer Credit Commissioner
Retention schedule approved for use.

State and Local
Records Management

Dear Ms. McAnally:

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

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

4400 Shoal Creek Blvd.
Austin, Texas
78756

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

www.tsl.state.tx.us

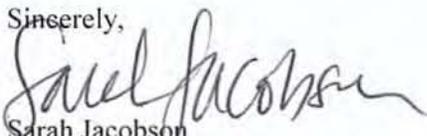
During a certification period, state regulations (13 TAC §6.4) also require the submission of amendments to the retention schedule as needed to keep the information in the schedule current. If you are not familiar with the amendment process, contact the government information analyst assigned to your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

Commission Chairman
Sandra J. Pickett

Your efforts in maintaining an up-to-date records retention schedule are appreciated. It not only helps to ensure the integrity of your recordkeeping practices, but it is also essential to the success of your records management program. Your schedule will be due for recertification on the last working day of October 2014. If you have any questions, call the information analyst assigned to your agency, Michael Reager, at 512-421-7210.

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

Director and Librarian
Peggy D. Rudd

Sincerely,

Sarah Jacobson
Manager, Records Management Assistance

Assistant State Librarian
Edward Seidenberg

Enclosure
cc: State Auditor, State Archivist
cc: (without enclosure) Leslie L. Pettijohn

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Texans*

R01-466/466



STATE OF TEXAS

Records Retention Schedule Certification

SLR 105C

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

Section 1. Agency Information

(Submitting agencies complete this section only)

Agency Code 466

Agency Name Office of Consumer Credit Commissioner

(Check one)

- Initial Certification - Form SLR 105
X 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
X Records Management Officer

Signature Joann McAnally

Name (Print or type) Joann McAnally

Date January 27, 2009

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 Peggy D. Rudd

Name (Print or type) Peggy D. Rudd

Date 10/4/11

Cert/Recert No. 5th Amendment No.



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 1 of 32

2. Agency Code 466		3. Agency Name Office of Consumer Credit Commissioner						
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		

4.7.001	AC.1	Accounting Policies and Procedures Manual	US	3	US+3			
4.4.002	AC.2	Accounts Receivable Ledgers	FE+1	2	FE+3			
4.5.003	AC.5	Annual Financial Report <i>Required by the General Appropriations Acts (100 Day Report).</i>	AC+6		AC+6	A	AC = September 1 of odd-numbered calendar years. CAUTION: If an agency does not produce a biennial or annual narrative report as described in item number 1.1.066, then these annual financial reports must be marked with Archival Code A. The archival requirement, when a biennial or annual narrative report is not produced, is met by sending the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission.	
4.5.006	AC.6	Annual Operating Budgets <i>Required by General Appropriations Act. 100 Day Report.</i>	FE+1	2	FE+3			

Retention Codes (Field 7)

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

CE – Calendar Year End
FE – Fiscal Year End

LA – Life of Asset
MO – Months

PM – Permanent
US – Until Superseded

Archival Codes (Field 8)

A – Transfer to State Archives
R – Review by State Archivist



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 2 of 32

2. Agency Code 466		3. Agency Name Office of Consumer Credit Commissioner						
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		

1.1.002	AC.7	Audit Reports Audits and reviews performed on the agency by other agencies or internal auditors.	AC+7		AC+7	AC = Publication or release of final audit findings. NOTE: The State Auditor's Office retains any copies of its audits performed on Texas state agencies.		
4.5.002	AC.8	Internal Fiscal Management Reports Financial Statements for Finance Commission.	FE+1	2	FE+3			
4.1.003	AC.9	Cancelled Warrants	FE+1	2	FE+3			
4.2.002	AC.10	Cash Receipts Front desk, credit card, and lockbox receipts; includes receipts for fees (licenses, renewals, registrations, etc.).	FE+1	2	FE+3			
4.3.002	AC.11	Cash Receipts Voucher Register Register compiled by mailroom staff.	FE+1	2	FE+3			
4.7.006	AC.12	Comptroller Reports	FE+3		FE+3			
4.3.001	AC.13	Order Requests/Sales Journals Includes publications ordered by licensees, kits, codes, CCL, etc.	FE	3	FE+3			

Retention Codes (Field 7)

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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.

1. Page 3 of 32

2. Agency Code 466		3. Agency Name Office of Consumer Credit Commissioner						
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	AC.14	Correspondence – General Non-administrative incoming/outgoing and internal correspondence, in any media, pertaining to or arising from the routine operations of the policies, programs, services, or projects of an agency.	1		1			
5.1.004	AC.15	Texas Credit Letter Subscriptions, Renewals, Change of Address <i>Formerly Credit Code Letter.</i>	FE+1	2	FE+3			
1.3.001	AC.16	Texas Credit Letter <i>Formerly Credit Code Letter.</i>	AC+2		AC+2	AC=At least 2 years after superseded or obsolete.		
4.2	AC.17	Deposit Vouchers	FE+1	2	FE+3			
5.2.010	AC.18	Equipment Manuals Includes equipment history and service agreements.	LA+3		LA+3			
4.5.001	AC.19	Fiscal Reports – Worksheets Includes AFR and monthly financials.	FE+1	2	FE+3			

Retention Codes (Field 7)

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

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PM – Permanent
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Archival Codes (Field 8)

A – Transfer to State Archives
R – Review by State Archivist



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 4 of 32

2. Agency Code 466		3. Agency Name Office of Consumer Credit Commissioner						
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		

4.2.007	AC.20	Interagency Transaction Vouchers Includes Dep't Banking, Facilities Commission, etc. In addition to summary detail, includes any accompanying detailed listing of long distance calls.	FE+1	2	FE+3		NOTE: 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.		
5.2.014	AC.21	Inventory – Annual Physical	FE+1	2	FE+3				
4.2.006	AC.23	General Journal Vouchers	FE+1	2	FE+3				
1.1.004	AC.24	Legislative Appropriation Request Including any supporting documentation created and/or used to justify and support legislative appropriations requests by an agency.	AC+2	4	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.		
4.1.003	AC.25	Payment Cancellation Vouchers	FE+1	2	FE+3				

Retention Codes (Field 7)

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

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Archival Codes (Field 8)

A – Transfer to State Archives
R – Review by State Archivist



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 5 of 32

2. Agency Code 466		3. Agency Name Office of Consumer Credit Commissioner						
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	AC.26	Reports on Performance Measures Quarterly and annual reports on agency performance measures submitted to the executive and legislative budget offices.	AC+4	2	AC+6	AC = September 1 of odd-numbered calendar years.		
1.1.064	AC.27	Departmental 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. Includes Monthly Numbers/Report.	FE+1	2	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.		
4.2.005	AC.29	Purchase Vouchers Includes accounts payable, accounts payable ledgers, Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE+1	2	FE+3			
4.2	AC.30	Refund Vouchers	FE+1	2	FE+3			
4.7.003	AC.31	Returned/Hot Checks	AC+1	2	AC+3	AC = End of fiscal year after deemed uncollectible.		

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 466		3. Agency Name Office of Consumer Credit Commissioner						
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			

4.1	AC.32	Suspense Clearance	FE+1	2	FE+3			
1.1.007	AD.1	Correspondence – Commissioner’s	3		3	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>	

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



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 7 of 32

2. Agency Code	466	3. Agency Name					Office of Consumer Credit Commissioner				
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	AD.2	Correspondence – Finance Commission	3		3	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>		
1.1.008	AD.3	Correspondence – General Non-administrative incoming/outgoing and internal correspondence, in any media, pertaining to or arising from the routine operations of the policies, programs, services, or projects of an agency.	1		1				
1.1.008	AD.4	Correspondence – Interagency Memos	1		1				

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 8 of 32

2. Agency Code 466		3. Agency Name Office of Consumer Credit Commissioner						
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			

1.1.057	AD.5	Finance Commission Meeting Workpapers 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.	AC		AC	AC = Date of publication in the Finance Commission Meeting Book. NOTE: These are workpapers and transitory information files. The final copy is the Finance Commission Meeting book.		
1.1.027	AD.6	Legislative Workpapers Drafts of proposed legislation and related correspondence.	AV		AV			
1.1.026	AD.7	Notices to Texas Register 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.		
1.2.011	AD.9	Records Center Storage Approval Forms (RMD 106) Agency copy.	US		US			

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

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page **9** of **32**

2. Agency Code	466	3. Agency Name					Office of Consumer Credit Commissioner				
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	AD.10	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			
1.2.012	AD.11	Records Inventory Worksheets	US		US			
1.2.005	AD.12	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		NOTE: Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission.	
1.2.006	AD.13	Records Transmittal Form 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	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	A – Transfer to State Archives			
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 10 of 32

2. Agency Code 466		3. Agency Name Office of Consumer Credit Commissioner						
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			

1.1.070	AD.14	Rules and Regulations Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects. Includes <i>Texas Credit Code/Title</i> and other Finance Commission and Office of Consumer Credit Commissioner rules/laws.)	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.		
1.1.055	AD.15	Strategic Plan 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.		
1.1.064	AD.17	Departmental 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. Includes Monthly Numbers/Report.	FE+1	2	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)

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

CE – Calendar Year End
FE – Fiscal Year End

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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.

1. Page 11 of 32

2. Agency Code 466		3. Agency Name Office of Consumer Credit Commissioner							
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			

1.1.006	AD.18	Complaint Records Complaints received by an agency from the public concerning the agency and records pertaining to the resolution of the complaint.	AC+1	1	AC+2	AC = End of fiscal year after 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.		
1.1.023	AD.19	Organizational Charts	US		US	A		
1.1.053	AD.20	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		AC	AC = Report filed with Texas Ethics Commission.		
1.2.001	AD.22	Destruction Authorization/Record Destruction Sign-offs Agency level documents authorizing final disposition of records under a certified records retention schedule.	FE+3		FE+3			
1.2.008	AD.23	Request for Authority to Dispose of State Records (RMD 102) Agency copy.	FE+3		FE+3	NOTE: Original is retained by the State and Local Records Management Division, 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				
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Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

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2. Agency Code 466		3. Agency Name Office of Consumer Credit Commissioner						
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		

			AC	2	AC+2			
	CE.1	Consumer Education Project Files	AC	2	AC+2		AC = Project complete.	
1.1.008	CE.2	Correspondence – General Non-administrative incoming/outgoing and internal correspondence, in any media, pertaining to or arising from the routine operations of the policies, programs, services, or projects of an agency.	1		1			
1.1.043	CE.4	Presentation Materials	US+1		US+1			
1.1.019	CE.5	Public Service Announcements Includes news and press releases.	2		2	R		

Retention Codes (Field 7)

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MO – Months

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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 466		3. Agency Name Office of Consumer Credit Commissioner						
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	CE.6	Publications Brochures, newsletters, cards, etc. produced for licensees and industry.	AC+2		AC+2	AC = Until superseded or obsolete. CAUTION: Many state publications must be submitted to the Texas State Publications Depository Program, Texas State Library and Archives Commission, by law (Government Code 441.101-441.106). 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. 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).		
1.1.064	CE.8	Departmental 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. Includes Monthly Numbers/Report.	FE+1	2	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)

AC – After Closed, Terminated, Completed, Expired, Settled
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Archival Codes (Field 8)

A – Transfer to State Archives
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Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 14 of 32

2. Agency Code 466		3. Agency Name Office of Consumer Credit Commissioner						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			

5.4.013	DP.1	Back-up Computer Tapes – Disaster Recovery Purposes	US		US			
2.1.008	DP.4	Hardware Documentation Records documenting operational and maintenance requirements of computer hardware such as operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems.	AC		AC	AC = Until electronic records are transferred to and made usable in a new hardware environment or there are no electronic records being retained to meet an approved retention period that require the hardware to be retrieved and read. 13 TAC 6.94. CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.		
1.3.001	DP.5	Publications Old Internet WebPages.	AC+2		AC+2	AC=Until superseded or obsolete.		

Retention Codes (Field 7)

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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.

1. Page 15 of 32

2. Agency Code	466	3. Agency Name					Office of Consumer Credit Commissioner				
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	DP.6	Software Programs 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.		
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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

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 US – Until Superseded

Archival Codes (Field 8)

A – Transfer to State Archives
 R – Review by State Archivist



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 16 of 32

2. Agency Code 466		3. Agency Name Office of Consumer Credit Commissioner						
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	DP.7	Technical Documentation Records adequate to specify all technical characteristics necessary for reading or processing of electronic records and their timely, authorized disposition including documentation describing how a system operates and necessary for using the system such as user guides, system or sub-system definitions, system specifications, input and output specifications, and system flow charts; program descriptions and documentation such as program flowcharts, program maintenance logs, change notices, and other records that document modifications to computer programs; and data documentation necessary to access, retrieve, manipulate, and interpret data in an automated system such as a data element dictionary, file layout, code book or table, and other records that explain the meaning, purpose, structure, logical relationships, and origin of the data elements.	AC		AC	AC = Until electronic records are transferred to and made usable in a new hardware or software environment 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. CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.		
1.2.015	DP.8	Disaster Recovery Service Transmittals (RMD 109) Also includes documentation for disaster recovery services provided by other entities. Back up tape transmittal form.	FE+1		FE+1			

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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Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

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2. Agency Code 466		3. Agency Name Office of Consumer Credit Commissioner						
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		

1.1.006	E.1	Complaint Records Complaints received by the agency from the public concerning the regulated industry of the agency and records pertaining to the resolution of the complaint. Includes Complaint Database.	AC+1	2	AC+3	AC = End of fiscal year after 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. NOTE: E.2 Complaint Database was rolled into this record series.		
1.1.008	E.4	Correspondence – General Non-administrative incoming/outgoing and internal correspondence, in any media, pertaining to or arising from the routine operations of the policies, programs, services, or projects of an agency.	1		1			
1.1	E.6	Exam Report Workpapers	AC+1		AC+1	AC = Audit/Exam completed.		
1.1	E.7	Exam Reports and Files – Closed Includes Exam Reports Database.	AC+1	4	AC+5	AC = End of fiscal year after examination report finalized and closed. NOTE: E.17 Exam Reports Database was rolled into this record series.		

Retention Codes (Field 7)

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AV – Administrative Value

CE – Calendar Year End
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MO – Months

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US – Until Superseded

Archival Codes (Field 8)

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 466		3. Agency Name Office of Consumer Credit Commissioner						
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	E.8	Exam Reports and Files – Closed and Microfilmed	AC+1	4	AC+5	AC = End of fiscal year after examination report finalized and closed.	91-466-001	
1.1.006	E.10	Investigation Records Complaints received by the agency from the public concerning the regulated industry of the agency and records pertaining to the resolution of the complaint. Includes Investigation Database.	AC+2		AC+2	AC = End of fiscal year after final disposition of investigation. 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. NOTE: E.11 Investigation Records Database was rolled into this record series.		
3.3.020	E.12	Examiner Schedules	FE+1		FE+1			
5.5.003	E.13	Station Activity Reports/Telephone Logs Internal listing of incoming/outgoing telephone activity to individual telephone stations.	AV		AV			

Retention Codes (Field 7)

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Archival Codes (Field 8)

A – Transfer to State Archives
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Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 19 of 32

2. Agency Code 466		3. Agency Name Office of Consumer Credit Commissioner								
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	E.14	Departmental 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. Includes Monthly Numbers/Report.	FE+1	2	FE+3		CAUTION: The FE + 3 retention period overrides any shorter retention period for a records series in this schedule if the records series is needed for documentation of agency performance measures.		
1.1	E.15	Response to Written Public Inquiries	1	2	3		AC = Final adjudicated and subject to no further appeal.		
5.1.015	E.16	Correspondence Tracking Records Includes mail logs, overnight delivery log, complaint tracking log, etc.	1		1				
1.1.073	L.1	Administrative Enforcement Action Files L – Files and Docket.	AC+12		AC+12	R	AC = End of fiscal year after final adjudicated and subject to no further appeal. NOTE: L.2 Administrative Enforcement Action Log was rolled into this record series.		

Retention Codes (Field 7)

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

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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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Form SLR 105C must accompany this form.

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2. Agency Code 466		3. Agency Name Office of Consumer Credit Commissioner						
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			

1.1.008	L.4	Correspondence – General Non-administrative incoming/outgoing and internal correspondence, in any media, pertaining to or arising from the routine operations of the policies, programs, services, or projects of an agency.	1		1			
1.1	L.5	Informal Interpretative/Advisory Letters 	AV		AV			
1.1.014	L.6	Legal Opinions and Advice / Interpretative Letters From agency legal counsel or the Attorney General, including any requests eliciting the opinions.	US+4		US+4	R	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.	
1.1	L.7	Interpretative Letter Tracking Records	1		1			

Retention Codes (Field 7)

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 MO – Months

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Archival Codes (Field 8)

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 466		3. Agency Name Office of Consumer Credit Commissioner						
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			

1.1.048	L.8	Litigation Files Records created by or on behalf of an agency in anticipation of or in the adjudication of a lawsuit.	AC+12		AC+12	R	AC = End of fiscal year after 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.		
1.1.020	L.9	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). Formerly Open Records Requests – Approved. Includes Certifications.	AC+1		AC+1		AC = End of fiscal year after date request fulfilled.		

Retention Codes (Field 7)

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MO – Months

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US – Until Superseded

Archival Codes (Field 8)

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R – Review by State Archivist



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2. Agency Code 466		3. Agency Name Office of Consumer Credit Commissioner						
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	L.10	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). Formerly Open Records Requests – Denied.	AC+2		AC+2	AC = End of fiscal year after date of notification that records are exempt.		
5.1.015	L.11	Open Records Request Tracking Records	FE+2		FE+2			
1.1.064	L.13	Departmental 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. Includes Monthly Numbers/Report.	FE+1	2	FE+3	CAUTION: The FE + 3 retention period overrides any shorter retention period for a records series in this schedule if the records series is needed for documentation of agency performance measures.		
1.1.008	LIC.1	Correspondence – General Non-administrative incoming/outgoing and internal correspondence, in any media, pertaining to or arising from the routine operations of the policies, programs, services, or projects of an agency.	1		1			

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Archival Codes (Field 8)

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SLR 105

Form SLR 105C must accompany this form.

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2. Agency Code 466		3. Agency Name Office of Consumer Credit Commissioner						
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			Agency	Storage	Total			

1.1	LIC.3	License Applications – Denied Business	AC+1	4	AC+5	AC = End of fiscal year after account closed.	95-466-003	
1.1	LIC.4	License Applications – Withdrawn Business	AC+1	4	AC+5	AC = End of fiscal year after account closed.	11-466-006	
1.1	LIC.5	License Files – Businesses <small>Includes correspondence, license files, and License Database.</small>	AC+1	9	AC+10	AC = End of fiscal year after account closed which includes cancellations, transfers, revocations, etc. <small>NOTE: LIC.2 License Records Database was rolled into this record series.</small>	95-466-002	
1.1	LIC.6	License Files – Pawnshop Employee <small>Includes correspondence, license files, and Pawnshop Employee Database.</small>	AC+1	4	AC+5	AC = End of fiscal year after account closed	00-466-004	
1.1	LIC.10	License Renewals <small>Regulated entities annual renewals.</small>	FE+1	2	FE+3		11-466-008	
1.1	LIC.11	Licensee Annual Reports <small>Annual reports received from regulated entities.</small>	FE+1	2	FE+3		11-466-009	

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			Agency	Storage	Total			

1.1.064	LIC.12	Departmental 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. Includes Monthly Numbers/Report.	FE+1	2	FE+3	CAUTION: The FE + 3 retention period overrides any shorter retention period for a records series in this schedule if the records series is needed for documentation of agency performance measures.		
1.1	LIC.13	License Files – Pawnshop Employee – Denied	AC+1	4	AC+5	AC = End of fiscal year after account closed.	05-466-005	
1.1	LIC.14	License Files – Pawnshop Employee – Withdrawn	AC+1	4	AC+5	AC = End of fiscal year after account closed.	11-466-007	
3.1.026	LIC.15	Criminal History Checks	AC		AC	AC = The criminal history record has served the immediate purpose for which it was obtained.		
3.1.001	P.1	Applications for Employment - Not Hired Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.	2		2	29 CFR 1602.31 [State Agencies].		

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1.1.008	P.2	Correspondence – General Non-administrative incoming/outgoing and internal correspondence, in any media, pertaining to or arising from the routine operations of the policies, programs, services, or projects of an agency.	1		1			
3.2.003	P.3	Federal/State Payroll Reporting Includes FICA records, 941 file, 1099, W2, and other tax records.	AC+2	2	AC+4	AC = Tax due date, date the claim is filed, or date tax is paid whichever is later. 26 CFR 31.6001 - 1(e)(2).		
3.3.011	P.4	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+5	70	AC+75	AC = Termination of employment. See item number 3.1.038.		
3.2.010	P.5	Human Resources Information System (HRIS) Reports Includes supporting documentation. Comptroller's Office; Includes Benefit Information; and EEO Report.	AC+4		AC+4	AC = After staff review.		

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			Agency	Storage	Total	9. Remarks		

3.3.015	P.6	Positions/Job Classification Review File Records relating to review and monitoring of job classifications within an agency.	US	3	US+3			
3.3	P.7	Personnel Files Contents of files = Employee Insurance Record; Performance Appraisals; Personnel Correction Action Documentation; Personnel Disciplinary Action Documentation; Personnel Information/Action Forms; Position/Job Description; Employee Benefits-Other than Insurance-Tex-Flex; Employee Recognition Records; Employee Deduction Authorization; W-4 Forms; Direct Deposit Application/Authorization; and State Deferred Compensation.	AC+5		AC+5	AC = Termination of employment then merges with P.4.		
3.3.024	P.8	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+1	2	US+3			
3.2.002	P.9	Reports/USPS Includes Payroll Detail Report.	4		4			
4.6.002	P.10	Reconciliation Papers/USPS	FE+1	2	FE+3			

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			Agency	Storage	Total	9. Remarks		

3.4.008	P.11	Sick Leave Pool Documentation Requests submitted, approvals, number of hours transferred in and out, etc.	FE+1	2	FE+3			
3.3.022	P.13	Texas Workforce Commission (TWC) Reports Reports to the agency from TWC or its predecessor pertaining to employees. Includes Employee-Quarterly Unemployment Tax.	AC+3		AC+3	AC = After staff review merged into P.3.		
3.4.006	P.14	Time Sheets	2	2	4	40 TAC 815.106(i). NOTE: Includes Record Series 3.4.004 and 3.4.007.		
5.4.001	P.15	Accident Reports and Associated Documentation Formerly Workers Compensation Reports. 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+1	4	CE+5	29 CFR 1904.33. The Texas Department of Insurance retains copies of the reports submitted to it for 50 years.		

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			Agency	Storage	Total				9. Remarks

1.1.064	P.16	Departmental 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. Includes Monthly Numbers/Report.	FE+1	2	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.		
3.1.029	P.17	Employment Eligibility, Documentation or Verification of Federal reporting form (INS I-9).	AC+1		AC+1	AC = Termination of employment. CAUTION: Federal regulation requires that INS 1-9 forms be retained for 3 years from date of hire or 1 year after separation of the employee, whichever later. Agencies should make certain that the INS I-9 forms for employees who terminate from an agency less than 3 years from date of hire are kept for the 3 year retention period. 8 CFR 274a.2(b)(2)(i)(A) and (c)(2).		

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466		Office of Consumer Credit Commissioner		Agency	Storage	Total	9. Remarks	106 No.	TSLAC ONLY Amend. No.
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title							
3.1.014	P.18	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.			2		2	29 CFR 1602.31 [State Agencies]. CAUTION: Does not include criminal history checks. SEE item number 3.1.026.	
3.1.018	P.19	Grievance Records Records relating to the review of employee grievances against personnel policies, working conditions, etc.			AC+2		AC+2	AC = Final decision on the grievance. CAUTION: Does not include formal complaints filed by an agency employee with the Equal Employment Office (EEO) of the U. S. Department of Labor. SEE item number 1.1.048.	
3.3.004	P.20	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).	

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3.4.001	P.21	Accumulated Leave Adjustment Requests 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+3		FE+3			
3.4.002	P.22	Leave Status Reports Cumulative report is issued each pay cycle and provides employee leave status information for each position.	FE+3		FE+3			
3.1.034	P.23	Resume/Job Applications Unsolicited Retention period applies if an agency replies to the sender of a resume that it will be kept on file should future job openings occur.	AV		AV	SEE item number 3.1.014 for resumes, whether solicited or unsolicited, that are used in any way in the employment selection process.		
3.2.002	P.24	Employee Earnings Records	4		4	40 TAC 815.106(i).		
3.2.007	P.25	Unemployment Compensation Records	AC+5		AC+5	AC = Claim settled.		

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5.3.007	PUR.1	Bid Documentation Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, accepted and rejected bids, and bid tabulation/evaluations.	FE+1	2	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.		
5.1.001	PUR.2	Contracts and Lease Agreements 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 = End of fiscal year after 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.		
1.1.008	PUR.3	Correspondence – General Non-administrative incoming/outgoing and internal correspondence, in any media, pertaining to or arising from the routine operations of the policies, programs, services, or projects of an agency.	1		1			
5.3.008	PUR.4	Purchasing Order Registers Log, register, etc., providing a record of purchase orders issued, orders received, and similar data on procurement status.	FE+1	2	FE+3			

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	R.2	Registered Entities – Registration and Renewals	CE+1	2	CE+3			
1.1.008	R.3	Correspondence – General Non-administrative incoming/outgoing and internal correspondence, in any media, pertaining to or arising from the routine operations of the policies, programs, services, or projects of an agency.	1		1			

As of 09/26/2011—4:45 p.m.

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