

November 20, 2023



Nancy Ebert  
Records Management Officer  
Office of Credit Consumer Commissioner  
Finance Commission Building  
2601 N. Lamar Blvd.  
Austin, TX 78705

Dear Ms. Ebert

The 7th recertification of your agency's records retention schedule is approved for use as of **11/8/2023**, and it may be accessed on our website at <https://www.tsl.texas.gov/slrn/state/schedules>. Please ensure that all old copies of the schedule are superseded with this certified copy.

This approved retention schedule provides you with continuing authorization to dispose of agency records according to its terms. Please note that state rules (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. 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 according to a timeline established by the Texas State Library and Archives Commission. Your next recertification is scheduled for **November, 2028**.

During a certification period, changes may need to be made to your schedule. State rules (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:

Sahar Arafat-Ray  
512-475-5194  
saray@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,

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

Craig Kelso  
Director and State Records Administrator

cc: Leslie Pettijohn, Commissioner

Lorenzo de Zavala  
State Archives and  
Library Building

1201 Brazos Street  
Austin, Texas  
78701

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

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

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**TSLAC**

Preserving yesterday  
Informing today  
Inspiring tomorrow



STATE OF TEXAS

Records Retention Schedule Certification

SLR 105C

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

Section 1. Agency Information

(Submitting agencies complete this section only)

Agency Code 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 Nancy Ebert
Name (Print or type) Nancy Ebert
Date 06/30/2023

Section 2. Approvals

(Submitting agencies do not write in this section)

State Auditor's Office
Signature
Name (Print or type)
Date
Not-Required at This Time

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

Signature Gloria McFaraz
Name (Print or type) Gloria McFaraz
Date 11/8/23

Cert/Recert No. 1 Amendment No.

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# CAUTION

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

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

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

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





**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
 Rev. 2021-07

Retention Codes (field 7)

AC – See field 9 for specific records series definition  
 AV – Administratively valuable  
 CE – Calendar year end  
 FE – Fiscal year end  
 LA – Life of Asset  
 PM – Permanent  
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Archival Codes (Field 10)

A/I – Transfer to State/University Archivist  
 R/O – Review by State/University Archivist  
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					Years	Months	Days				
OCCC.1	1.1.057	Transitory Information	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. 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.	AC				AC = Purpose of record has been fulfilled.		CAUTION: Records management officers should use caution in assigning this records series RSIN to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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). See page xii of the State Records Retention Schedule for examples.	
OCCC.2	1.1.064	Agency and Departmental Performance Measures Documentation	Any records of an agency needed for the documentation of output, outcome, efficiency, and explanatory measures in an agency's strategic plan, and for performance measures used to manage the agency. Includes Monthly Numbers/Report.	FE	3					See RSIN 1.1.068 for reports on agency performance measures. 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.	



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OCCC.3	1.1.013	Calendars, Appointment and Itinerary Records	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.	CE	1				R	<p>ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the State Archives when these records have met their retention periods.</p> <p>CAUTION: A record of this type purchased with personal funds, but used by a state official or employee to document his or her work activities may be a state record and subject to this retention period. See Open Records Decision 635 issued in December 1995 by the Attorney General.</p>	
OCCC.4	1.1.008	Correspondence - General	Non-administrative (staff other than Commissioner & Dept. Heads) 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					See comment to RSIN 1.1.007. See also RSIN 1.1.010.	
OCCC.5	1.2.003	Forms History and Maintenance	Master versions of all forms used internally and externally by the agency, including subsequent revisions to an agency form or any associated design or design modification requests.	AC	2			AC= Until superseded or use of form is discontinued.			



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OCCC.6	1.1.043	External Training Materials, Speeches, Presentations	Speeches, presentations, and other records developed by OCCC associated with training the entities it regulates or serves, including instructional training aids used in external training programs.	AC	1			AC = Close of training session, after training materials superseded, or termination of training program, as applicable.		See RSIN 3.3.030 for internal personnel training materials. CAUTION: Does not include hazardous material training records. See RSIN 5.4.007	
OCCC.7	1.1.070	Rules and Regulations, Policies and Procedures - Final	Manuals, guidelines, rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects. Includes working files and related documentation used in creating rules, policies, and procedures. Does not include Administrative (APA) Rules (see L.20).	AC	3			AC = Until superseded, or termination of program, rules, policies, or procedures, whichever applicable.	R	ARCHIVES NOTE: Working files and related documentation used in creating the final rules, policies, and procedures, are not subject to archival requirement and may be disposed of at the expiration of the retention period.	
OCCC.9	1.1.069	Reports - Activity	Reports compiled by agency personnel on a daily or other periodic basis pertaining to workload monitoring, task completion times, number of public contacts, and similar activities.		1					CAUTION: If reports are used to document performance measures, see RSIN 1.1.064.	



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OCCC.10	3.4.007	Time Off and/or Sick Leave Requests	Requests and authorizations for vacation, compensatory, sick, Family and Medical Leave Act (FMLA), sick pool leave, and other types of authorized leave, and supporting documentation. Includes email requests or submission through CAPPs.	FE	3						Government Code, Section 661.152(d); 29 CFR 825.500(b).
OCCC.11	5.1.012	Charge Schedules/Price Lists	Schedules of prices charged by an agency for services to the public or other agencies, including any documentation used to determine the charges.	US	3						
OCCC.12	3.4.004	Overtime Authorizations	Email, approved timesheet or other overtime authorization documentation.		2					CAUTION: Only includes overtime schedules and authorizations. See RSIN 3.4.006 for timekeeping records.	
OCCC.13	1.1.040	Speeches, Papers and Presentations	Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	2			AC= End of event, until superseded, or obsolete.	R	ARCHIVES NOTE: Only speeches, papers, and presentations given by or on behalf of executive staff, board or commission members, division directors and program heads require archival review.	
OCCC.14	5.1.014	Office Procedures	Any internally distributed manual, guidelines, or similar records that establish standard office procedures for the agency; for example, agency style manuals, telephone protocols, mail room procedures, and departmental procedures in the consumer protection, licensing and legal areas.	US	1						



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OCCC.15	5.2.029	Returned Mail	Documentation of mail returned by the postal or other mail delivery services as undeliverable.	AC	1			AC = Date returned.		CAUTION: If corrected address provided and mail rerouted, maintain address update documentation for prescribed retention period.	
OCCC.16	1.1.011	Executive Orders	Any document that initiates, rescinds, or amends a regulation, policy, or procedure that governs the programs, services, or projects of an agency.	US	3				A		
OCCC.17	1.1.058	Meetings, Agendas and Minutes of Open	Agendas and minutes of state boards, committees, commissions, and councils that conduct open meetings as required by Chapter 551, Government Code. Records of the Finance Commission (oversight body of OCCC) are maintained by the Department of Banking. This record series would cover any open meetings required by Chapter 551, conducted exclusively by the OCCC.	PM					A	ARCHIVES NOTE: Agency retains permanent record copy. The archival requirement will be met by sending a copy to the Archives and Information Services Division, Texas State Library and Archives Commission.  CAUTION: This records series and RSIN 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.	





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AC.5	4.5.003	Annual Financial Reports	Annual Financial Reports (AFR) required by statute.	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 RSIN 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.  ARCHIVES NOTE: The final version of Annual Financial Reports must be submitted to the Texas State Publications Depository Program per 13 TAC 3.3(a)(2)(a). Working files and related documentation used in creating the final plan are not subject to archival review and may be disposed of at the expiration of the retention period.	Government Codes, 2101.011 and 2101.0115
AC.6	4.9.001	Annual Operating Budgets	The annual budget approved by the Finance Commission.	FE	3						
AC.7	1.1.002	Audit Reports	Audits and reviews performed on the agency by other agencies or internal auditors, including working papers such as reports, calculations, reconciliations, etc. and any other documentation submitted to the auditors that support the audit.	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.  See RSIN 5.4.018 for Audit Plan records.	
AC.8	4.5.002	Fiscal Management Reports	Internal and external periodic fiscal management reports and associated worksheets, including federal financial reports, salary reports, HUB reports, investment performance reports, etc.	FE	5					CAUTION: This series does not include fiscal reports created to fulfill grant requirements. See RSIN 4.7.008.	



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AC.11	4.3.002	Cash Receipts Voucher Register	Register compiled by mailroom staff.	FE	3						
AC.20	4.1	Interagency Transaction Vouchers	Interagency Vouchers to Dep't of Banking, Dep't of Savings and Mortgage Lending, Dep't of Information Resources, etc. Includes telecommunications billing detail as well as summary detail, also includes any accompanying detailed listing of long distance calls.	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.	
AC.31	4.7.003	Uncollectible Accounts	Records of accounts deemed uncollectible, including write-off authorizations and returned checks, warrants, and drafts.	AC	3			AC = Date account deemed uncollectible.			
AC.32	4.1	Suspense Clearance	Records of clearing accounts that are used to hold transactions for later posting and to ensure information is recorded correctly and complete.	FE	3						
AC.38	4.6	Confidential Treatment of Information Acknowledgement (CTIA)	Signed CTIA forms for all employees having USAS and CAPPs Financials access	AC	5			AC = Termination of employment.			
AC.39	4.7.004	Capital Asset Records	Documentation relating to the capital and fixed assets of a state agency, including equipment or property history cards containing data on initial cost, depreciation schedules or summaries used for capital outlay budgeting, and property sale, auction, or disposal records of agency owned equipment and property.	LA	3						



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AC.40	4.7.001	Accounting Policies and Procedures Manual	Records documenting the internal and external procedural requirements with respect to the accounting department of a state agency.	US	3						
AC.41	4.1.001	Accounts Receivable Information	Bill copies or stubs, statements, billing registers, account cards, deposit warrants, cash receipts compiled by mailroom, credit card receipts, receipts books, cash transfers, daily cash reports, reconciliations, general journal vouchers, special vouchers, and similar records that serve to document money owed to or received by a state agency and its collection or receipt.	FE	3						
AC.42	4.1.009	Accounts Payable Information	Bill copies or stubs, statements, billing registers, account cards, deposit warrants, cash receipts, credit card receipts, receipts books, cash transfers, daily cash reports, reconciliations, general journal vouchers, special vouchers, and similar records that serve to document money owed to or received by a state agency and its collection or receipt. Also includes purchase vouchers (requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations).	FE	3						



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AC.43	4.7.012	Signature Authorizations	Signature cards or similar records establishing authority of an agency employee to initiate or authorize financial transactions on behalf of an agency.	AC	4			AC = Until superseded, date of expiration, or termination of employee, whichever sooner.			
AC.44	4.8.001	Banking Records	Bank statements, credit card statements, cancelled checks, check registers, deposit slips, debit and credit notices, reconciliations, and other banking related records.	FE	3						
AC.45	4.5.007	USAS Reports – Daily/Monthly	Periodic reports compiled from information entered into the Uniform Statewide Accounting System (USAS).	AC				AC = Receipt and reconciliation of annual report.			
AC.46	4.5.009	USAS Reports – Annual	Yearly report compiled from information entered into the Uniform Statewide Accounting System (USAS).	FE	3						
AC.47	3.3.023	Reimbursable Activity Records	Requests and authorizations for travel; participation in educational programs, workshops, or college classes; or for other work-related activities for which the expenses of the employee are defrayed or reimbursed.	FE	3						
AC.48	5.2.006	Inventory and Property Control Records	Records documenting the inventorying, maintenance, usage, checkout, and disposal of supplies, equipment, and property of a state agency. Includes lost, stolen, and damage reports.	FE	3					See RSIN 5.2.008 for the maintenance logs of individual pieces of equipment.	
AC.49	5.1.017	Contract Log	List of agency contracts, leases, and agreements, including general obligation, land lease, utilities, and construction contracts.	FE	3						



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AC.50	5.4.018	Annual Audit Plan	Includes working papers and agency risk assessment used to develop the plan, per Texas Internal Auditing Act requirement.	AC	7			AC = After final plan has been issued.		See RSIN 1.1.002 for individual Audit records not related to the development of the Audit Plan.	Government Code, 2102.013.
AC.51	4.1.006	Investment Transaction Files	Records documenting the investment of any public funds that evidence the investment of such funds, the cancellation or withdrawal of investments, and similar activities.	FE	5					See RSIN 4.5.002 for reports associated with investments.	
AC.52	4.7.005	Claim Files	Records documenting requests for payment of a sum of money according to the terms of a policy or contract.	AC	3			AC = Resolution of Claim			
AC.53	4.5.010	Unclaimed Property Reports and Documentation	Sufficient records to verify information on unclaimed property previously reported to the State Comptroller showing the name and last known address of the apparent owner of reportable unclaimed property, a brief description of the property, and the balance of each unclaimed account, if appropriate.	AC	10			AC = Date on which property is reportable.			Property Code, Section 74.103(b)
AC.54	5.2.008	Inspection, Repair, and Maintenance Records – Equipment	Equipment history file, which may include logbooks and requests for installation, moves, service, repair, etc.	LA	3					For service agreements or contracts related to equipment repairs and service, retain in accordance with RSIN 5.1.001a/b. For vehicle maintenance records, see RSIN 5.6.003.	



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AD.1	1.1.007	Administrative Correspondence	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.		4				R	ARCHIVES NOTE: Only the administrative correspondence of executive staff, board or commission members, division directors and program heads require archival review. Contact the State Archives when these records have met their retention periods. CAUTION: This records series and RSIN 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 RSIN 1.1.004; a letter concerning an audit for that prescribed by RSIN 1.1.002, etc. SEE ALSO RSIN 1.1.011.	
AD.2	1.1.007	Correspondence - Finance Commission	Incoming/outgoing and internal correspondence pertaining to the Finance Commission of Texas. Most communication pertaining to the Finance Commission of Texas is maintained and retained by the Texas Department of Banking.		4				R	ARCHIVES NOTE: Only the administrative correspondence of executive staff, board or commission members, division directors and program heads require archival review. Contact the State Archives when these records have met their retention periods. CAUTION: This records series and RSIN 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 RSIN 1.1.004; a letter concerning an audit for that prescribed by RSIN 1.1.002, etc. SEE ALSO RSIN 1.1.011.	



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AD.5	1.1.057	Finance Commission Meeting Workpapers	Workpapers relating to 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 = 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.	
AD.6	1.1.027	Legislative Workpapers	Drafts of proposed legislation and related correspondence.	AV							
AD.7	1.1.026	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 = Date of publication in the Texas Register.		Includes Notice of Rate Ceilings.	
AD.10	1.2.010	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					CAUTION: Disposition can mean destroyed or transferred.	
AD.11	1.2.012	Records Inventory Worksheets	Worksheets or working papers used to capture records inventory information, including location tracking and to document existence and requirements of a records series.	US							
AD.12	1.2.005	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						NOTE: Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission.	
AD.13	1.2.006	Records Transmittal Form	Forms used to track the transmittal of records to/from onsite and offsite storage areas or a transfer of physical custody.	AV							



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AD.15	1.1.055	Strategic Plans	Information resources and operational strategic plans prepared in accordance with 2054.095 and 2056.002, Government Code.	AC	6			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.	
AD.18	1.1.006	Complaint Records - Agency	Complaints received by an agency from the public concerning the agency and records pertaining to the resolution of the complaint.	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 RSIN 1.1.048.	
AD.19	1.1.023	Organizational Charts	Charts or diagrams that show the structure of an agency and the relationships and relative ranks of its departments and job positions.	US					A	ARCHIVES NOTE: Only charts showing the overall arrangement and administrative structure of the state agency need to be transferred to the Archives and Information Services Division, Texas State Library and Archives Commission. Organizational charts showing division/department level detail are not considered archival.	
AD.20	1.1.053	Visitor 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 = Report filed with the Texas Ethics Commission, or date quarterly report would have been filed when the agency has no information to report.			
AD.22	1.2.001	Destruction Authorization/Record Destruction Sign-Offs	Agency level documents authorizing final disposition of records under a certified records retention schedule.	FE	3					CAUTION: If destruction authorizations are maintained as part of RSIN 1.2.010 (Records Disposition Logs), then longer retention period applies.	





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AD.24	1.3.001	State Publications	One copy of each state publication as defined on page xi of this schedule, except a publication that is subject to a different retention period in this schedule. For example, a meeting agenda (see RSIN 1.1.058) also meets the definition, but it must be retained permanently; RSIN 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.	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).	
AD.25	1.1.068	Reports on Performance Measures	Quarterly and annual reports on agency performance measures.	AC	6			AC = September 1 of odd-numbered calendar years.		See RSIN 1.1.064 for documentation used to produce reports on agency performance measures.	
AD.27	1.1.038	Customer Surveys	Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC				AC = Final disposition of summary report.		SEE RSIN 1.1.067 for summary reports compiled from customer surveys.	
AD.28	1.1.063	Staff Meeting Minutes and Notes	Minutes or notes, and supporting documentation, taken at internal agency staff meetings.		1						



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AD.29	1.1.066	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; includes the Report on Availability, Quality and Pricing of Certain Financial Services and Consumer Loan Products and the SDSI Reports.	AC	6			AC=September 1 of odd-numbered calendar years.		ARCHIVES NOTE: The final version of these agency reports must be submitted to the Texas State Publications Depository Program per 13 TAC 3.3. The requirement is met by sending the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission. Working files and related documentation used in creating the final report may be disposed of at the expiration of the retention period.	
AD.30	1.1.067	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				R	ARCHIVES NOTE: Reports are archival when they deal with significant aspects of the agency's programs. 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 on State RRS for more information. See RSIN 1.1.065 for raw data used to produce reports.	
AD.31	1.1.074	Sunset Review Report and Documentation	Sunset Review Report, agency self-study, and other correspondence and supporting documentation related to the Sunset review process for state agencies.	AC	3			AC=After the subsequent Sunset Review.	R	ARCHIVES NOTE: Related documentation includes the agency self-evaluation report, agency response to the commission's draft report, and documentation of the agency's implementation of the commission's final recommendations.	



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AD.32.a	4.7.008a	Grant Records-Awarded	This series documents state and federal grant projects participated in or administered by state agencies. It includes grant authorization records, which provide evidence of the award of grants to or by agencies; grant/project financial or performance reports, which are periodic reports of financial activity and/or program performance related to grants received or made by agencies.	AC	3			AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (the Common Rule).		CAUTION: Retention requirements may vary depending on the specific funding agency. Agencies must ensure that records are retained for the appropriate retention period.	
AD.32b	4.7.008b	Grant Records - Non-Awarded	Non-awarded, denied, or unfunded grant applications and proposals.	AC	2			AC = Date of notification.			
AD.33	5.1.013a	Insurance Policies	For vehicles, equipment, etc. a) Executed, renewed, or amended on or after September 1, 2015.	AC	7			AC = Expiration or termination of the policy according to its terms.			Government Code, 441.1855
AD.35	5.2.001	Appraisals - Building or Property	Assessments or evaluations of the value of state-owned buildings or property.	AV					R	ARCHIVES NOTE: Archival review designation is for state-owned buildings only. OCCC owns its building.	
AD.36	5.2.003a	Building Plans and Specifications	Includes architectural and engineering drawings, profiles, and blueprints.	LA					R	See RSIN 5.2.002 and 5.2.028.	
AD.37	5.2.004	Building Space Requests	Records documenting building space requests and approvals. Information on request forms may include but is not limited to: the building and room; the reason for the change; parties involved in the request; date of request and approval.		1						
AD.38	5.2.011	Equipment Warranties	Equipment manuals and instructions along with manufacturer's warranty information	AC	1			AC = Expiration of warranty			
AD.39	5.2.028	Building Construction Contract and Inspection Records	Building construction contracts, surety bonds, and inspection records.	LA	10				R	SEE ALSO numbers 5.2.002 and 5.2.003a/b.	



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AD.40	5.4.003	Inspection Records	Fire, safety, and other inspection records of agency facilities and equipment, such as SORM reports.	AC	3			AC = Inspection, or date of the correction of the deficiency if the inspection report reveals a deficiency.		CAUTION: Does not include inspection reports of building construction. SEE RSIN 5.2.028.	
AD.41	1.2.014	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						
AD.43	5.2.002	Building Plans and Specifications	Planning, design, and construction records; accepted and rejected bids; correspondence; etc.	AC	10			AC = Completion of project.	R	See RSIN 5.2.003a/b and 5.2.028 for further retention of completed building documentation. See RSIN 5.3.007a/b for additional bid documentation retention periods, including RSIN 5.3.007c for invalid bids that do not meet agency submission requirements.	
AD.44	1.1.024	Plans and Planning Records	Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC	3			AC=Decision made to implement or not to implement result of planning process.	R	ARCHIVES NOTE: Data processing planning records are not archival.	
AD.45	1.1.062	Meetings – Supporting Documentation	Documents submitted at meetings of state boards, commissions, committees, and councils, including exhibit items, documentation for agenda items, public comment forms, etc. Includes documents sent in advance of meetings for briefing purposes, some of which may not be submitted at an actual meeting.		2				A	ARCHIVES NOTE: Archival review designation is for state-owned buildings only.	



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AD.46	1.3.002	Publication Development Files	Physical and digital development and design files used to create State Publications, including but not limited to background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV					R	See RSIN 1.3.001 for final State Publications created from development files.  ARCHIVES NOTE: Successive and substantive drafts of major publications may be archival. Major is defined by both the publication's authorship and its impact on Texas and Texans. Original artwork, including photo prints and negatives that have significant value as evidence of agency programs as well as the potential for re-use, may be archival.	
CE.1	1.1.043	Consumer Education Project Files	Instructional materials and other records developed by OCCC associated with training consumers it serves, including but not limited to training manuals, course registration, class rosters, sign-in sheets, syllabuses, course outlines, and similar training aids used in external training programs.	AC	1			AC = Project complete.			
CE.5	1.1.019	Public Relations/Press Announcements	Includes news and press releases or public relations files maintained or issued by an agency.		2				R		
DP.1	5.4	Back-up File Copies	Disaster Recovery Purposes. Physically remote, cloud-based backups are captured every night between EOD and next BOD, including new files, modified files, and taking note of deleted files. Files can be recovered through DIR STS service request.	US						Backup copies are updated nightly.	



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DP.4	2.1.008	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, and associated processing files.	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.		CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.	13 TAC 6.94.
DP.5	1.3	Online Publications	Old Internet Web Pages.	AC	2			AC = Until superseded or obsolete.			13 TAC 6.94.
DP.6	2.1.007	Software Programs	Automated software applications and operating system files including job control language, program listing/ALECS source code, etc.	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.		CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.	13 TAC 6.94.



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DP.7	2.1.009	Technical Documentation	Records adequate to specify all technical characteristics necessary for reading or processing electronic records; to document modifications to computer programs; to access, retrieve, manipulate, and interpret data in an automated system; and allow for their timely, authorized disposition. Records include but are not limited to: user guides, system or sub-system definitions, system specifications, input and output specifications, system flow charts, program flow charts, program maintenance logs, change notices, data element dictionaries, file layouts, code books or tables, and other records that explain the meaning, purpose, structure, logical relationships, and origin of the data elements.	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.		CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.	13 TAC 6.94.
DP.8	1.2.015	Disaster Recovery Service Reports	Agency receives nightly cloud backup reports from DIR.	AV							
DP.9	1.1.065	Reports and Studies (Non-Fiscal) - Raw Data	Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV						See RSIN 1.1.067 for reports produced from raw data.  CAUTION: Does not include source documentation used for information or data included in or directly related to another records series in this schedule. See RSIN 1.1.064.	



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DP.10	2.1.010	Audit Trail Records	Files needed for electronic data audits such as files or reports showing transactions accepted, rejected, suspended, and/or processed; history files/tapes; records of on-line updates to application files or security logs.	AC				AC = All audit requirements have been met.			
DP.11	2.2.001	System or Computer Monitoring Records	Hardware or software components for monitoring agency's computer system resources and performance.	AV						The disposal of monitoring records that are automatically overwritten need not be documented through destruction authorizations (RSIN 1.2.001) or in records disposition logs (RISM 1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (RSIN 1.2.014)	
DP.12	2.2.010	Data Processing Policies and Procedures	Manuals, guidelines, or similar documents establishing data processing policies and procedures in an agency in such areas as access and security, systems development, data retention and disposition, data ownership, production control, system back-up, etc.	US	3					CAUTION: Does not include technical documentation of procedures necessary for reading or processing of electronic records. SEE RSIN 2.1.009.	





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DP.13	2.2.013	Quality Assurance Records	Information verifying the quality of system, hardware, or software operations including records of errors or failures and the loss of data resulting from such failures, documentation of abnormal termination and of error free processing, checks of changes put into production, transaction histories, and other records needed as an audit trail to evaluate data accuracy; includes ROC Report, exception detail DB table, history log DB table.	AC				AC = No longer needed as an audit trail for any records modified.		For quality control records related to non IT procedures, see RSIN 5.2.018.	
DP.14	2.2.016	Software Registrations, Warranties and License Agreements	Records documenting the registration and licensing of a software application to activate the software for legal use by the end users of a state agency, along with warranties providing that the software will perform in accordance with functional specifications.	LA	3						
DP.15	5.4.012	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, including CTIA forms and acknowledgments.	AC	2			AC = Until superseded, date of expiration, or date of termination, whichever sooner.			
DP.16	2.2.017	Help Desk Tickets	Records documenting the request for and response to help desk tickets received by divisions or units, such as information technology.	AV							



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DP.17	2.2.018	Biennial Information Security Plan	Biennial information security plan for protecting the security of the agency's information.	US							1 TAC 202.23; 1 TAC 202.73.
DP.18	2.1.002	Master Files and Application Data	Relatively long-lived computer files containing organized and consistent sets of complete and accurate electronic records and associated processing files. Examples include, but are not limited to, data tables of relational databases used by applications or computer programs.	AC				AC = Until electronic records are transferred to and made usable in a new system environment, or there are no electronic records being retained to meet an approved retention period established in this schedule that require the use of the system.		CAUTION: Records management officers must be certain before assigning the retention period of AC to agency master files and application data that the files do not fall under records series listed elsewhere.	
DP.19	2.2	Change Management	Files, information, and ideas that document a project anywhere from conception to research to development to execution and testing. Functional histories can be valuable at any later time if the project must be reviewed, revisited, or upgraded.	FE	3						
E.1	1.1.006	Complaint Records - Regulated Industry	Complaints received by the agency from the public or other entities concerning the regulated industries of the agency and records pertaining to the resolution of the complaint. Includes Complaint Database.	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 RSIN 1.1.048.	
E.7	1.1	Exam Report Files - Closed	Includes Exam Reports Database. Workpapers may include records kept of the procedures followed, transactions reviewed, compliance tests performed, information obtained, restitution claimed, and the conclusions reached pertinent to the examination of the licensee.	AC	7			AC = Date the agency closes the exam work item as shown in the ALECS database or Document Manager records.		CAUTION: If an examination becomes the subject of litigation, it must be included in and is subject to the minimum retention period of RSIN 1.1.048.	



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E.10	1.1	Investigation Records	Includes Investigation Database. Workpapers may include records kept of the procedures followed, transactions reviewed, compliance tests performed, information obtained, restitution claimed, and the conclusions reached pertinent to the investigation.	AC	2			AC = End of fiscal year after final disposition of investigation.		CAUTION: If an investigation becomes the subject of litigation, it must be included in and is subject to the minimum retention period of RSIN 1.1.048.	
E.12	3.3.020	Examiner Schedules	Schedule of examiner work, duty, or assignments.	FE	1						
E.13	5.5.002	Station Activity Reports/Telephone Logs	Internal listing of incoming/outgoing telephone activity to individual telephone stations.	AV						See RSIN 4.1.001 for telephone bills.	
E.15	1.1	Response to Written Public Inquiries	Records documenting the response to public inquiry requests.		3						
E.16	5.1.015	Correspondence Tracking Records	Includes mail logs, overnight delivery log, complaint tracking log, etc.		1						
E.17	3.3.027	Knowledge and Skills Test Templates	Aptitude or skills tests administered-required of job applicants or of current personnel to qualify for promotion or transfer.	US	3					CAUTION: One copy of each different test (different in terms of either questions or administration procedures) should be retained for the period indicated.	29 CFR 1602.31.
E.18	3.3.028	Knowledge and Skills Tests (Completed and Graded Test Papers)	Aptitude and skills test papers of job applicants or of current personnel taking a test to qualify for promotion or transfer.		2						29 CFR 1602.31.
E.19	3.3.030	Training Administration Records - Examiner	Instructional materials and other records associated with in-house training of examiners on job duties and skills.	FE	5						
E.20	3.1.027	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 = Termination of employment.			



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E.21	1.1	Regulated Industry Quarterly and Annual Reports	Industry reports of activity required to be submitted. Includes: quarterly and annual reports from licensees; annual report error notification letters; annual report delinquency lists; and annual report data validation spreadsheets.	FE	3						
E.23	1.1	Documentary Fee Records	Includes all documentation and correspondence relating to records filed under Finance Code 348.006 and 7 TAC 84.205 by or on behalf of a licensee. Includes tracking records.	AC	4			AC = Date licensee is approved by agency to lower fee, fee filing is replaced with a new filing or withdrawn; or license is transferred, canceled, expired, surrendered, or revoked.			Finance Code 348.006, 7 TAC 84.205
E.24	1.1	Debt Cancellation Agreements (DCA) - Approved	DCA filings under Finance Code 348.604 and 7 TAC 84.309. Includes final approved DCAs, approval letters issued by agency, and transmittals.	AC	4			AC = End of fiscal year after date of withdrawal or agency order to resubmit.			Finance Code 348.604, 7 TAC 84.309
E.25	1.1	Debt Cancellation Agreements (DCA) - Working Papers	DCA filings under Finance Code 348.604 and 7 TAC 84.309. Includes all documentation (draft agreements, correspondence, and filing logs) for approved DCAs, except as described in E.24 or E.26. Also includes all documentation for denied or withdrawn DCAs.	AC	4			AC = End of fiscal year after approved, denied, or withdrawn.			Finance Code 348.604, 7 TAC 84.309
E.26	1.1	Debt Cancellation Agreements (DCA) - Approved List and Log	Includes list of approved DCAs posted on agency website and internal log of approved DCAs.	US							
E.27	1.1	Plain Language Forms - Accepted	Form submissions under Finance Code 341.502 and 7 TAC Chapters 84 and 90. Includes final accepted forms, acceptance letters issued by agency, and transmittals	AC	4			AC = End of fiscal year after withdrawal or agency order disapproving form.			Finance Code 341.502, 7 TAC Chapters 84 and 90



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E.28	1.1	Plain Language Forms - Correspondence and Filing Logs	Form submissions under Finance Code 341.502 and 7 TAC Chapters 84 and 90. Includes all documentation (draft forms, correspondence, and filing logs) for accepted forms, except as described in E.27 and E.29. Also includes documentation for rejected, disapproved, or withdrawn forms.	AC	4			AC = End of fiscal year after form is accepted, rejected, disapproved, or withdrawn.			Finance Code 341.502, 7 TAC Chapters 84 and 90
E.29	1.1	Plain Language Records - Accepted List	Includes list of accepted plain language forms posted on agency website.	US							
L.9	1.1.020	Public Information Requests - Not Excepted	Includes all correspondence and documentation relating to requests for records that are furnished to the public under Public Information Act (Chapter 552, Government Code). Includes Certifications.	AC	1			AC = End of fiscal year after date request fulfilled.			
L.10	1.1.021	Public Information Requests - Excepted	Includes all correspondence and documentation relating to requests for records that are excepted under the Public Information Act (Chapter 552, Government Code), including records provided to the legislature under section 552.008.	AC	2			AC = End of fiscal year after date of notification that records are exempt.			
L.11	1.1	Public Information Request Tracking Records	Public Information Request and Governmental Agency Request dockets.	FE	2						
L.14	1.1.072	Public Information Reports	Reports made to the Office of the Attorney General (OAG) on an agency's Public Information Act activities, per Government Code, 552.010.		2						



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L.15	1.1.077	Government Agency Requests	Includes license verifications and other requests from government agencies. Includes information provided under information sharing agreements.	AC	2			AC = End of fiscal year after the date the request was fulfilled.			
L.16	1.1	Administrative Enforcement Actions - Case Paperwork and Dockets	Records created by or on behalf of an agency in anticipation of or in the adjudication of an administrative action.	AC	3			AC = End of fiscal year after finally adjudicated and subject to no further appeal.		NOTE: L.2 Administrative Enforcement Action Log was rolled into this record series.	
L.17	1.1.073	Administrative Enforcement Actions - Final Decision	Records of final decisions in the adjudication of an administrative action. Includes proposals for decision, final orders, settlement agreements, closing correspondence, and closing memos.	AC	12			AC = Last action.	R	ARCHIVES NOTE: Only records that lead to substantial or statutory changes to the operations of the agency and its policies and procedures should be retained for archival review. Contact the State Archives when these records have met their retention periods.  CAUTION: These records may be maintained with related information, including meeting notices, proofs of publication, and meeting minutes, and require a longer retention period.	
L.18	1.1.048	Litigation Files	Records created by or on behalf of an agency in anticipation of or in the adjudication of a lawsuit in state or federal court to which the agency is a party.	AC	3			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.	R	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.	



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L.19	1.1.048	Litigation Files - Final Decision	Records of final decisions in the adjudication of a lawsuit in state or federal court to which the agency is a party. Includes final orders, settlement agreements, closing correspondence and closing memos.	AC	12			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.	R	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.	
L.20	1.1	Rules Adopted Through Administrative Procedure Act (APA) - Final	Includes precomment drafts distributed to stakeholders, stakeholder notices and Advanced Notice of Proposed Rulemakings, precomments received, rule actions published on agency website (proposals and adoptions), and official comments received.	AC	3			AC = Date rule becomes effective		Final administrative rules are published in the Texas Register, which maintains the record copy of the rule. Rule proposals, adoptions, and official comments are included in the Finance Commission's meeting materials, which are kept permanently. The OCCC sees no administrative value in maintaining precomment drafts, stakeholder notices and Advanced Notice of Proposed Rulemakings, and precomments for more than 3 years. The OCCC will maintain its version of these records for only 3 years after the date the rule becomes effective.	



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L.21	1.1	Rules Adopted Through Administrative Procedure Act (APA) - Working Files	Includes rule drafts, internal staff notes and edits, staff notes from stakeholder and Finance Commission meetings and rule tracking documents.	AC	3			AC = Date rule becomes effective		The final rule (see L.20) memorializes the decisions of the OCCC related to the effective rule. The OCCC sees no administrative value in maintaining the working files longer than the final rule, and will maintain the working file for only 3 years after the date the rule becomes effective.	
L.22	1.1	Information Sharing Agreements	Information sharing agreements executed with other state and federal agencies including any correspondence that was exchanged in negotiating the information sharing agreement.	AC	4			AC = Expiration or termination of agreement according to its terms.			
L.23	1.1.076	Subpoenas	Includes subpoenas and Civil Investigative Demands (CIDs) received in cases where the agency is not a party to the litigation, and all correspondence and documentation relating to records provided in response to subpoenas and CIDs.	AC	3			AC = Date response is served.			
L.24	1.1.014	Official Interpretations	Official interpretations are those approved by Finance Commission under Finance Code 14.108. Includes the request for an official interpretation.	PM					A	Original retained permanently by OCCC. Archival requirement to be met by providing a copy to the State Archives.	
L.25	1.1	Official Interpretation Working Files	Working files used in drafting official interpretations, including withdrawn or rejected requests, comments on requests, and tracking records.	AC	3			AC = End of fiscal year after interpretation approved, withdrawn, or rejected.			
L.26	1.1	Advisory Letters and Advisory Bulletins	Advisory letters are those defined under 7 TAC 1.201. Advisory bulletins are those addressed to a group of stakeholders. Includes letters from staff other than legal counsel.	US						US = End of fiscal year after advisory letter or bulletin is superseded by statute, rule, litigation, or otherwise	





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L.27	1.1	Advisory Letter and Advisory Bulletin Working Files	Working files used in drafting advisory letters and advisory bulletins, including requests eliciting advisory letters and tracking records.	AC	3			AC = End of fiscal year after advisory letter or bulletin issued, or decision by agency not to issue.			
LIC.3	1.1	License and Registration Applications - Businesses - Denied	Includes correspondence, license files, and License Database.	AC	5			AC = End of fiscal year after application denied.			
LIC.4	1.1	License and Registration Applications - Businesses - Withdrawn	Includes correspondence, license files, and License Database.	AC	2			AC = End of fiscal year after application withdrawn.			
LIC.5	1.1	License and Registration Files - Businesses	Includes correspondence, license files, and License Database.	AC	5			AC = End of fiscal year after license canceled, surrendered, revoked, or expired.		NOTE: LIC.2 License Records Database was rolled into this record series.	
LIC.6	1.1	License Files - Pawnshop Employees	Includes correspondence, license files, and Pawnshop Employee Database.	AC	5			AC = End of fiscal year after license canceled, surrendered, revoked, or expired.			
LIC.10	1.1	License and Registration Renewals	Regulated entities annual renewals.	FE	3						
LIC.13	1.1	License Applications - Pawnshop Employee - Denied	Includes correspondence, license files, and License Database.	AC	5			AC = End of fiscal year after application denied.			
LIC.14	1.1	License Applications - Pawnshop Employee - Withdrawn	Includes correspondence, license files, and License Database.	AC	2			AC = End of fiscal year after application withdrawn.			
LIC.15	3.1.026	Criminal History Checks	Criminal history record information on job applicants or agency employees obtained from the Department of Public Safety (DPS).	AC				AC = The criminal history record has served the immediate purpose for which it was obtained.		CAUTION: An agency that is authorized to obtain a criminal history record information from DPS must refer to its agency's legislation or see Subchapter F, Chapter 411, Government Code for appropriate retention and use of this information.	



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LIC.17	1.1	Property Tax Exemptions	Property tax exemptions [granted or denied], property tax exemption form and correspondence.	CE	3						
P.1	3.1.001	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.	AC	2			AC = Date of the making of the record or the personnel action involved, whichever occurs later.		CAUTION: Does not include ADA Accommodation Requests. See RSIN 3.1.042.	29 CFR 1602.31
P.3	3.2.003	Federal/State Payroll Reporting	Includes FICA records, 941 file, 1099, W2, and other tax records.	AC	4			AC = Tax due date, date the claim is filed, or date tax is paid whichever is later.			26 CFR 31.6001 - 1(e)(2).
P.4	3.3.011	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 = Termination of employment.		See RSIN 3.1.038.	
P.6	3.3.015	Positions/Job Classification Review File	Records relating to review and monitoring of job classifications within an agency.	US	3						



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P.7	3.1	Personnel Files	Includes: 3.1.002-Application for Employment; 3.1.011-Employee Insurance Record; 3.1.019-Performance Appraisals; 3.1.020-Personnel Correction Action Documentation; 3.1.021-Personnel Disciplinary Action Documentation; 3.1.022-Personnel Information/Action Forms; 3.1.027-Training and Educational Achievement Records; 3.1.031-Employee Benefits-Other than Insurance-Tex-Flex; 3.1.037-Employee Recognition Records; 3.1.006-Employee Counseling Records.	AC	5			AC = Termination of employment then KEY INFO goes into P.4.			
P.8	3.3.024	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						
P.11	3.4.008	Sick Leave Pool Documentation	Requests submitted, approvals, number of hours transferred in and out.	FE	3						
P.13	3.3.022	Texas Workforce Commission (TWC) Reports	Reports from TWC regarding unemployment filings. Includes Employee-Quarterly Unemployment Tax statements from TWC.		3						



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P.14	3.4.006	Time Sheets	Records documenting individual employee’s hours worked, including work schedules and documentation evidencing adherence to or deviation from normal hours for those employees working on fixed schedules. CAPPs system implemented in FY22; Clockwise data to be kept until eligible for disposition, end of FY26.		4					NOTE: Includes Record Series 3.4.004 and 3.4.007. (Continue to store Clockwise data until Document Retention is complete).	40 TAC 815.106(i).
P.15	5.4.001	Accident Reports and Associated Documentation	Accident or occupational disease reports (by supervisors and employees) and other associated reports required to be submitted to the State Office of Risk Management (SORM) or its predecessors or maintained internally on accident frequency.	CE	5					See RSIN 5.4.014a/b for non-employee accidents.	29 CFR 1904.33; 28 TAC 120.1(c).
P.17	3.1.029	Employment Eligibility, Documentation	Federal reporting form (I-9).	AC	3			AC = 3 years after date of hire or 1 year after termination of employment, whichever later.			8 CFR 274a.2(b)(2)(i)(A) and (c)(2).
P.18	3.1.014	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 and all other records that document the selection process except for those noted in Remarks.	AC	2			AC = Date of the making of the record or the personnel action involved, whichever occurs later.		CAUTION: Does not include criminal history checks; see RSIN 3.1.026.  Does not include drug screening test results; see RSIN 3.1.040a/b/c.  Does not include pre-employment skills tests; see RSIN 3.3.027 and 3.3.028.  Does not include pre-employment polygraph examinations; see RSIN 3.1.043.	29 CFR 1602.31.



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P.19	3.1.018	Grievance Records	Records relating to the review of employee grievances against personnel policies, working conditions.	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 (DOL). See RSIN 1.1.048.	
P.20	3.3.004	Benefit Plans	Employee benefit plans such as pension; life, health, and disability insurance; deferred compensation, including amendments.	AC	1			AC = Until superseded or plan terminated.			29 CFR 1627.3(b)(2).
P.21	3.4.001	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						
P.22	3.4.002	Leave Status Reports	Cumulative report is issued each pay cycle and provides employee leave status information for each position.	FE	3						
P.23	3.1.034	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						SEE RSIN 3.1.014 for resumes, whether solicited or unsolicited, that are used in any way in the employment selection process.	
P.24	3.2.002	Reports/USPS/CAPPS, and Employee Earnings Records	Payroll records and registers documenting employee earnings, wages, and pay. This may include but is not limited to payroll input records, summary statements, payroll vouchers, payroll detail sheets, and payroll history. Includes Payroll Detail Report in CAPPS.		4					CAPPS implemented in FY22, USPS data to be retained till December 2026.	40 TAC 815.106(i).



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P.25	3.2.007	Unemployment Compensation Records	Records and documentation relating to unemployment compensation claims, including reimbursement of funds disbursed by Texas Workforce Commission (TWC).	AC	5			AC = Resolution of the claim settled.			
P.26	3.1.012	Employment Opportunity Announcements	Internal or external announcements or advertisements of job openings, promotions, training programs, or opportunities for overtime.		2						29 CFR1602.31.
P.27	3.3.026	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						
P.28	3.3.030	Training Administration Records	Instructional materials and other records associated with in-house training of agency personnel on personnel policies and procedures and other policies and procedures that govern an agency's programs, services, or projects.	AC	2			AC = Close of training session, after training materials superseded, or termination of training program, as applicable.		CAUTION: Does not include hazardous material training records. SEE RSIN 5.4.007. See RSIN 1.1.043 for external training records. See RSIN 3.1.027 for individual employee training records.	
P.29	3.1.023	Position/Job Description	Job descriptions, including all associated task or skill statements, for positions in an agency.	AC	4			AC = Until superseded or job eliminated.			40 TAC 815.106(i)
P.30	3.2.009	State Deferred Compensation Records	Records documenting the amount of pension or deferred compensation earned by individual employees.		4						



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

1. Agency Code: 466		2. Agency Name: Office of Consumer Credit Commissioner									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
P.31	3.1.038	Public Access Option Records	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						CAUTION: Most recent public access election information must be kept as long as the former employee verification records. See RSIN 3.3.011.	
P.32	5.4.014a	Accident Reports – Adults	Reports of accidents to adults on state property or in any other situation in which the state agency could be a party to a lawsuit.	AC	3					AC = Date of report, or if a claim is filed, after settlement or denial of claim, whichever applicable.	
P. 33	3.3.031	EEO Reports and Supporting Documentation	Includes documentation used to complete EEO (Equal Employment Opportunity) reports.		3						29 CFR 1602.32, 1602.48, and 1602.50.
P.34	5.4.013	Continuity of Operations Plans (COOP)	Plans developed (per Texas Labor Code, 412.054) to mitigate the damage of potential events that could endanger an agency's ability to function. Includes disaster preparedness, response, and recovery plans.	US						See RSIN 5.4.017 for records related to responding or recovering from an emergency.	
P.35	3.3.033	Recruitment Plans	Diversity and recruitment plans and related workforce analyses.		3						Texas Labor Code, 21.501 and 502.
P.36	3.2.001	Employee Deduction Authorization	Documentation used to start, modify, or stop all voluntary or required deductions from payroll, including garnishment or other court-ordered attachments.	AC	4			AC = After termination of employment or after amendment, expiration, or termination of authorization, whichever sooner.			
P.37	3.2.005	W-4 Forms	Employer's copy of "Employee's Withholding Exemption Certificate."	AC	4			AC = Until superseded, obsolete, or termination of employment.			26 CFR 31.6001-1 (e)(2).



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
 Rev. 2021-07

**Retention Codes (field 7)**

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

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P.38	3.2.008	Direct Deposit Application/Authorization	Forms used to deposit employee's earnings into a specified personal account.	AC				AC = Until superseded, cancelled, or last payment deposited after termination of employment, whichever applicable.			
P.39	3.1.041	Employee Acknowledgement and Agreement Forms	Agreements between employee and agency authorizing certain actions, including acknowledgement forms, telecommuting agreements, outside/secondary employment authorizations, or other documentation that show proof of receipt and awareness of and adherence to agency policies and procedures.	AC	2			AC = Until superseded, obsolete, or date of separation, as applicable.			
PUR.1	5.3.007a	Bid Documentation	Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, successful and unsuccessful bids, and bid tabulation/evaluations. a) Associated with a contract executed, renewed, or amended on or after September 1, 2015	AC	7			AC = Expiration or termination of the instrument according to its terms or decision not to proceed with the bid.			Government Code, 441.1855.
PUR.1.1	5.3.007b	Bid Documentation	Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, successful and unsuccessful bids, and bid tabulation/evaluations. b)Associated with a contract executed, renewed, or amended on or before August 31, 2015	FE	3						Government Code, 441.1855.





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PUR.1.2	5.3.007c	Bid Documentation-Invalid Bids	Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, successful and unsuccessful bids, and bid tabulation/evaluations. c) Unsuccessful bids that do not meet agency submission requirements and are not included in bid evaluation process (e.g. withdrawn, missed submission deadline, incomplete submission, etc.)	AC	2			AC = Date of notification of denial or date of withdrawal, as applicable.			
PUR.2	5.1.001a	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, performance bonds, contracts, purchase orders, inspection reports, and correspondence. May also include other applicable documentation in the master contract file per Texas Comptroller of Public Accounts Contract Management Guide. a) Executed, renewed, or amended on or after Sept 1, 1015	AC	7			AC = Expiration or termination of the instrument according to its terms.		SEE related RSINs 3.1.035 Performance Bonds and 5.3.007 Bid Documentation. SEE RSIN 5.2.028 for building construction contracts and RSIN 5.1.017 for contract logs	Government Code 441.1855.



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PUR.4	5.3.008	Purchasing Logs	Log, register, etc., providing a record of purchase orders issued, orders received, and similar data on procurement status.	FE	3						
PUR.6	5.3.009	Requests for Information	Requests for information preliminary to the procurement of goods or services by direct purchase or bid.	AC				AC = Decision not to proceed with the procurement.		See RSIN 1.1.020 and 1.1.021 for public information requests. CAUTION: If the request for information leads to request for proposal or bid, the request for information documentation should be retained in accordance with RSIN 5.3.007a/b/c.	