



January 9, 2018

Nancy Ebert
Executive Assistant
Office of Consumer Credit Commissioner
2601 N. Lamar Boulevard
Austin, TX 78705-4207

Re: Agency records retention schedule approved for use.

Dear Ms. Ebert,

Lorenzo de Zavala
State Archives and
Library Building

Your agency's records retention schedule is approved for use as of January 3, 2018. Your currently approved records retention schedule is available on our website at <https://www.tsl.texas.gov/slrn/state/schedules.html>. Please ensure that all old copies of the schedule are superseded with this recertified copy.

1201 Brazos Street
Austin, Texas
78701

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

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

Each agency schedule must be reviewed, updated and submitted for recertification annually for the first two years after the initial approval of the schedule and every five years thereafter. The deadline for submission of your schedule for its next recertification is the last working day of January, 2023.

www.tsl.texas.gov

During a certification period, changes may need to be made to your schedule. State regulations (13 TAC §6.4) also allow for the submission of amendments to the retention schedule as needed to keep the information in the schedule current. If you are not familiar with the amendment process, or if you have any other questions, please contact the Government Information Analyst assigned to your agency, Benjamin Barlow at 512-463-5448 or bbarlow@tsl.texas.gov.

Commission Chairman
Michael C. Waters

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.

Members

Sharon T. Carr
F. Lynwood Givens
Larry G. Holt

Sincerely,

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

Craig Kelso

Director and State Records Administrator

Romanita Matta-Barrera
Wm. Scott McAfee
Martha Wong

Director and Librarian
Mark Smith

Assistant State Librarian
Gloria Meraz

cc: Agency head

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
 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 [Handwritten Signature]

Name (Print or type) Nancy Ebert

Date 1/31/17

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) **Not Required at This Time**

Date _____

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

Signature

Name (Print or type) Gloria Mejias

Date 1/31/18

Cert/Recent No. 6 Amendment No. _____

CAUTION

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

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



Records Retention Schedule

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	Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations	13. Amended
					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 item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction 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).		

Retention Codes (Field 8)

AC – After closed, terminated, completed, expired, settled
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CE – Calendar year end
FE – Fiscal year end

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Records Retention Schedule

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				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.
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	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. 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.
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 item number 1.1.007. SEE ALSO item number 1.1.010.

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OCCC.5	1.2.003	Forms/Templates History File	Print masters of original version and all subsequent revisions to an agency form, including any associated design or design modification requests.	AC	1			AC=Discontinuance of use of form.		
OCCC.6	1.1.043	External Training Materials, Speeches, Presentations	Instructional materials developed by an agency for training entities or individuals it regulates or serves.	AC	1			AC=Until superseded or obsolete.		
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. Does not include Administrative (APA) Rules (see L.20).	AC	3			AC = Completion or termination of program, rules, policies, or procedures.	R	SEE ALSO Agency Rules, Policies and Procedures - Working Files, 1.1.071.
OCCC.8	1.1.071	Agency Rules, Policies, and Procedures - Working Files	Working files used in the development of manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects. Does not include Administrative (APA) Rules (see L.21).	AC	3			AC= Completion or termination of program, rules, policies, or procedures.	R	SEE ALSO Records Series Item Number 1.1.070.
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: SEE Item number 1.1.064.

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OCCC.10	3.4.007	Time Off and/or Sick Leave Requests	Includes email requests or submission through online Clockwise system.	FE	3						
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						
AC.5	4.5.003	Annual Financial and Nonfinancial Data Reports	Two reports submitted annually to the governor; the comptroller; the Legislative Reference Library; the state auditor; and the Legislative Budget Board.	AC	6			AC = September 1 of odd-numbered calendar years.	A	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.	Government Codes, 2101.011 and 2101.0115
AC.6	4.5.006	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 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.	
AC.8	4.5.002	Internal Fiscal Management Reports	Includes agency monthly budget reports and Financial Statements for Finance Commission.	FE	3						
AC.9	4.1.003	Cancelled Warrants		FE	3						

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Records Retention Schedule

AC.10	4.2.002	Cash Receipts	Front desk, credit card, and lockbox receipts; includes receipts for fees (licenses, renewals, registrations, etc.).	FE	3						
AC.11	4.3.002	Cash Receipts Voucher Register	Register compiled by mailroom staff.	FE	3						
AC.12	4.7.006	Comptroller Statements/Reports	4.5.007, 4.5.008, 4.5.009-Uniform Statewide Accounting System (USAS) Reports; Uniform Statewide Payroll/Personnel System (USPS), State Property Accounting (SPA), Detail Account Activity by Fund Report (DAFR), Texas.gov, Sage interface files	FE	3						
AC.13	4.3.001	Order Requests/Sales Journals	Includes publications ordered by licensees, kits, etc.	FE	3						
AC.17	4.2	Deposit and Refund Vouchers		FE	3						
AC.19	4.5.001	Fiscal Reports - Worksheets	Includes Annual Financial Report (AFR) and monthly financial worksheets.	FE	3						
AC.20	4.2.007	Interagency Transaction Vouchers	Interagency Vouchers to Dep't of Banking, Dep't of Savings and Mortgage Lending, Dep't of Information Resources, etc. Includes series 5.5.006, 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.21	5.2.014	Inventory - Annual Physical	Includes 4.4.004-capital asset records and signed SPA forms, used in preparation of Inventory.	FE	3						
AC.23	4.2.006	General Journal Vouchers		FE	3						
AC.25	4.1.003	Payment Cancellation Vouchers		FE	3						

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Records Retention Schedule

AC.29	4.2.005	Purchase Vouchers	Includes 4.1001-accounts payable, 4.1.005-inventory & other cost files; requisitions, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE	3						
AC.31	4.7.003	Returned/Hot Checks		AC	3			AC = End of fiscal year after deemed uncollectible.			
AC.32	4.1	Suspense Clearance		FE	3						
AC.33	4.2.007	Travel Vouchers	Includes all backup documentation.	FE	3						
AC.34	4.4.001	General and Subsidiary Accounting Tracking Logs	Tracking reports on deposits, lock box, credit card, cash receipts; warrants issued, journal vouchers, etc.	FE	3						
AC.35	4.5.005	External Fiscal Reports	Special purpose - i.e. federal financial reports, salary reports, etc. Includes Statewide Cost Allocation Plan (SWCAP), Multiple Worksite Reports, Historically Underutilized Businesses (HUB) Reports.	FE	3						
AC.36	4.6.002	Reconciliations	Includes 4.7.002-bank statements, Application Licensing Examination Compliance System (ALECS), bank, precious metal dealers, pawnshop employees, payroll, expenditures, refunds, endowment, recovery funds	FE	3						
AC.37	5.2.017	Lost & Stolen Property Reports		FE	3						
AC.38	4.6	Confidential Treatment of Information Acknowledgement (CTIA)	Signed CTIA forms for all employees having USAS access	AC	5			AC = Termination of employment.			

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Records Retention Schedule

AC.39	4.7.004	Capital Asset Records	Documentation (contracts/purchase orders) for tangible or intangible assets on inventory, expected to be useful more than 1 year.	LA	3						
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 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.

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Records Retention Schedule

AD.2	1.1.007	Correspondence - Finance Commission		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 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.
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						

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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.9	1.2.011	Records Center Storage Approval Forms (RMD 106)	Agency copy.	US							
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						
AD.11	1.2.012	Records Inventory Worksheets		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	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 = 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.			

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Records Retention Schedule

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.	A	ARCHIVES NOTE: The archival requirement is met by sending the required copies of the plans to the Texas State Publications Depository Program, Texas State Library and Archives Commission.
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 item number 1.1.048.
AD.19	1.1.023	Organizational Charts		US					A	
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 Texas Ethics Commission.		
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					
AD.23	1.2.008	Request for Authority to Dispose of State Records (RMD 102)	Agency copy.	FE	3					NOTE: Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission.

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AD.24	1.3.001	State Publications such as Texas Credit Letter, consumer brochures, print or electronic docs.		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.	
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 item number 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.	A	ARCHIVES NOTE: The archival requirement is met by sending the required copies of reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission	
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		
AD.31	1.1.074	Sunset Review Report and Documentation		AC	3			AC=After the subsequent Sunset Review.	R		
AD.32	4.7.008	Grant Records	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.33	5.1.013	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

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AD.33.1	5.1.013	Insurance Policies	For vehicles, equipment, etc. b)Executed, renewed or amended on or before August 31, 2015.	AC	4			AC = Expiration or termination of the policy according to its terms.			Government Code, 441.1855
AD.34	5.1.014	Office Procedures	Any internally distributed manual, guidelines, or similar records that establish standard office procedures for an agency; for example, agency style manuals, telephone protocols, mail room procedures, print shop and photocopy ordering instructions.	US	1						
AD.35	5.2.001	Appraisals - Building or Property		AV					R	ARCHIVES NOTE: Archival review designation is for state-owned buildings only. OCCC owns its building.	
AD.36	5.2.003	Building Plans and Specifications	Includes architectural and engineering drawings, profiles, and blueprints.	LA					R		
AD.37	5.2.004	Building Space Requests		1							
AD.38	5.2.011	Equipment Warranties		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 5.2.003.	
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 item number 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						

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AD.42	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	3			AC = US+FE			
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 ALSO item numbers 5.2.003 and 5.2.028.	
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.	
CE.1	1.1	Consumer Education Project Files		AC	2			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 Computer Tapes	Disaster Recovery Purposes	US							
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.	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.

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Records Retention Schedule

DP.6	2.1.007	Software Programs	Automated software applications and operating system files including job control language, program listing/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.
DP.7	2.1.009	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 = 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.

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DP.8	1.2.015	Disaster Recovery Service Transmittals (RMD 109)	Also includes documentation for disaster recovery services provided by other entities. Back up tape transmittal form.	FE	1						
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						CAUTION: Does not include source documentation used for information or data included in or directly related to another records series in this schedule. SEE especially item number 1.1.064.	
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 Monitoring Records	Electronic files or automated logs created to monitor computer systems such as print spool logs, console logs, tape activity logs, etc.	AV							
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 item number 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.		
DP.14	2.2.016	Software Registrations, Warranties and License Agreements		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.	AC	2				AC = Until superseded, date of expiration, or date of termination, whichever sooner.		
E.1	1.1	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 item number 1.1.048. NOTE: E.2 Complaint Database was rolled into this record series.	

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Records Retention Schedule

E.6	1.1	Exam Report Workpapers		AC	1			AC = Date the agency closes the exam work item as shown in the ALECS database or Document Manager records.		
E.7	1.1	Exam Report Files - Closed	Includes Exam Reports Database.	AC	10			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 item number 1.1.048. NOTE: E.8 Exam Reports and Files - Closed and Microfilmed, and E.17 Exam Reports Database were rolled into this record series.	
E.10	1.1.006	Investigation Records	Includes Investigation Database.	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 item number 1.1.048. NOTE: E.11 Investigation Records Database was rolled into this record series.	
E.12	3.3.020	Examiner Schedules		FE	1					
E.13	5.5.003	Station Activity Reports/Telephone Logs	Internal listing of incoming/outgoing telephone activity to individual telephone stations.	AV						
E.15	1.1	Response to Written Public Inquiries			3					
E.16	5.1.015	Correspondence Tracking Records	Includes mail logs, overnight delivery log, complaint tracking log, etc.		1					

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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	1.1	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.			
E.21	1.1	Regulated Industry Annual Reports	Industry reports or 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 instructed 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

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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
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							

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Records Retention Schedule

L.9	1.1.020	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). Includes Certifications.	AC	1			AC = End of fiscal year after date request fulfilled.		
L.10	1.1.021	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 = 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 on an agency's Public Information Act activities.		2					
L.15	1.1	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 date request 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.	R	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, and closing memos.	AC	12				R	

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Records Retention Schedule

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.	
L.19	1.1	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, and closing memos.	AC	12						
L.20	1.1.070	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 is repealed, including repealed and replaced rules.	R		
L.21	1.1.071	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 is repealed, including repealed and replaced rules.	R		
L.22	1.1	Information Sharing Agreements	Information sharing agreements executed with other state and federal agencies.	AC	4			AC = Expiration or termination of agreement according to its terms.			

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Records Retention Schedule

L.23	1.1	Subpoenas and Demands for Records	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			
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		AC	5			AC = End of fiscal year after application denied.			
LIC.4	1.1	License and Registration Applications - Businesses - Withdrawn		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.	

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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		AC	5			AC = End of fiscal year after application denied.			
LIC.14	1.1	License Applications - Pawnshop Employee - Withdrawn		AC	2			AC = End of fiscal year after application withdrawn.			
LIC.15	3.1.026	Criminal History Checks		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.	29 CFR 1602.31 [State Agencies].	
LIC.16	5.1.004	Mail and Telecommunications Listings	Corporate contact information and updates for pawnshops.	US							
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.		2						29 CFR 1602.31 (State Agencies)

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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 item number 3.1.038.		
P.5	3.2.010	Human Resources Information System (HRIS) Reports	Includes 3.3.031-EEO Report and supporting documentation. Comptroller's Office; Includes Benefit Information.	AC	4			AC = After staff review of the issued report.			
P.6	3.3.015	Positions/Job Classification Review File	Records relating to review and monitoring of job classifications within an agency.	US	3						
P.7	3.3	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; 3.2.001-Employee Deduction Authorization; 3.2.005-W-4 Forms; 3.2.008-Direct Deposit Application/Authorization; 3.1.038-Public Access Option Form.	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						

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P.9	3.2.002	Reports/USPS	Includes Payroll Detail Report.		4						40 TAC 815.106(i).
P.10	4.6.002	Employee Time Reconciliation	Reconciliation of time sheets; USPS reports; prior state service forms; special reports (such as EOT) on request	FE	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 and responsive documentation provided by the agency regarding a possible claim. Includes Employee-Quarterly Unemployment Tax statements from TWC.		3						40 TAC 815.106(i).
P.14	3.4.006	Time Sheets	Clockwise timekeeping system retains this information.		4					NOTE: Includes Record Series 3.4.004 and 3.4.007.	40 TAC 815.106(i).
P.15	5.4.001	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	5					The Texas Department of Insurance retains copies of the reports submitted to it for 50 years.	29 CFR 1904.33
P.17	3.1.029	Employment Eligibility, Documentation or Verification of	Federal reporting form (INS I-9).	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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Records Retention Schedule

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, pre-employment drug screening test results, polygraph examination results; and all other records that document the selection process.		2					CAUTION: Does not include criminal history checks. SEE item number 3.1.026.	29 CFR 1602.31.
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. SEE item number 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.	US	1						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						

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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 item number 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	Employee Earnings Records			4					40 TAC 815.106(i).
P.25	3.2.007	Unemployment Compensation Records		AC	5			AC = 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.	US	2				CAUTION: Does not include hazardous material training records. SEE item number 5.4.007.	

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P.29	3.1.023	Position/Job Description	Job descriptions, including all associated task or skill statements, for positions in an agency.	AC	2			AC=Until superseded or job eliminated.			40 TAC 815.106(i)
P.30	3.2.009	State Deferred Compensation Records		AC	5			AC=All accounts with a vendor or vendors for the individual participant have been closed. For instructions regarding the determination of the closure of accounts and for additional information regarding the retention period see the most current edition of the <i>Benefits Coordinator Reference Manual</i> issued by the Employees Retirement System of Texas.			
PUR.1	5.3.007	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.			

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Records Retention Schedule

PUR.1.1	5.3.007	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						
PUR.1.2	5.3.007	Bid Documentation	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	5.1.001	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 item numbers 3.1.035 Performance Bonds and 5.3.007 Bid Documentation. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs	Government Code 441.1855.	

Retention Codes (Field 8)

AC – After closed, terminated, completed, expired, settled
AV – Administratively valuable

CE – Calendar year end
FE – Fiscal year end

LA – Life of asset
PM – Permanent

US – Until superseded

Archival Codes (Field 10)

A/I – Transfer to State/University Archives
R/O – Review by State/University Archivist



Records Retention Schedule

PUR.2.1	5.1.001	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. b) Executed, renewed, or amended on or before August 31, 2015	AC	4				AC = Expiration or termination of the instrument according to its terms.	SEE related item numbers 3.1.035 Performance Bonds and 5.3.007 Bid Documentation. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs	Government Code 441.1855.
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.5	4.2.005	Purchase Vouchers	Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations.	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.	CAUTION: If the request for information leads to request for proposal or bid, the request for information documentation should be retained in accordance with item number 5.3.007.	

Retention Codes (Field 8)				Archival Codes (Field 10)	
AC – After closed, terminated, completed, expired, settled	CE – Calendar year end	LA – Life of asset	US – Until superseded	A/I – Transfer to State/University Archives	
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