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Collections Enforcement Records Retention Schedules

The table below list records retention schedules for the Ohio Attorney General's Office that have been approved by the Department of Administrative Services (DAS), State Archives, and Auditor of State. To view the official agency retention schedules, please go to the Ohio Government Records Database. **Disclaimer:** If you have any issues reading this document, please feel free to Contact Us and we will try to provide an accessible version.

Record Series Title	Agency and Series Authorization Numbers	Record Series Description	Confidential Description	Vital Description	Retention Period	Retention Justification	Method of Disposal	Date Schedule Approved
Debt Certification Cards (a.k.a Certs/White Cards)	062-OAG-04 055-0510	Cards forwarded to Attorney General's Office listing debts for collection. Information includes, claim and serial numbers, judgment information, county filed, debtor contact information at time of debt, type of claim, type of claim, period of debt, amount due, penalty and total, date lien occurred and date certified debt sent to Attorney General for collection.		This is the only place debt period information is found prior to information being entered into debt account system.	Paper – 40 years (per ORC 131.02(F)(2).	ORC 131.02(F)(2) allows the Attorney General to cancel debt 40 years from date certified. Not filed chronologically. All should be disposed of by 2026.	Paper – Shred	4/7/2010

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Case History Tape Library	062-OAG-05 055-0511	Microfilm tapes created for long term case history reference accessible by name, serial number, tax identification number (tin), social security number, vendor license, and permit number (liquor). Information includes, but is not limited to, payments, judgment information, case history, actions on an account, levy information, period due, financial information, and permit information.	Contains personal private information and federal tax information protected by ORC 149.43, ORC 5703.21, 26 US Code 6103, 26 US Code 7213, and US Code 7431.		Microform – Retain until no longer of use or has been converted to office's collections electronic bookkeeping system.	Information on microfilm tapes becomes redundant when office's collection electronic bookkeeping system is updated with the same information. Records in bookkeeping system retained under various office retention schedules, therefore there is no continuing need for tape library.	Microform – Shred	3/26/2021
Constituent Inquiries	062-OAG-09 10551313	Constituent letters and responses from the Attorney General's Office where no outstanding debt can be located for the constituent. Kept to serve as a reference in the event the constituent contacts the office again in the future.			Electronic – 1 year Paper – 30 days		Electronic – Delete Paper – Shred	4/7/2010

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Constituent Files	062-OAG-10 10551311	Constituent files consist of copies of constituent letters and responses as well as copies of clerk of court invoices. Copies are kept to record the Office's responses to constituent inquiry and serve as reference in case of an inquiry by the constituent in the future.			Electronic – 1 year Paper – 30 days		Electronic – Delete Paper – Shred	4/7/2010
Accounting – Offsets/Recaps (Annual Tax Refunds Captured by the State of Ohio)	062-OAG-13 10551310	Reports that document money received from the Department of Taxation that was withheld from tax refunds to be applied to state debts.			Paper – 4 years provided audited.		Paper – Shred	4/7/2010

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Record Series Title	Agency and Series Authorization Numbers	Record Series Description	Confidential Description	Vital Description	Retention Period	Retention Justification	Method of Disposal	Date Schedule Approved
Claim Payment and Fee Reports	062-OAG-14 10551307	Reports used to review and validate claim account balances and payments for purposes of research and reporting to the Auditor of State. Reports can include, but are not limited to, information on account balances, payments, amounts for checks deposited and processed, tax offsets, lottery checks, and monies paid to individual clients, special counsel, and/or vendors.			Electronic – Retain 4 years, provided available for current audit.		Electronic – Delete	6/30/2022
Receipt Books – Bookkeeping	062-OAG-15 10551305	Hand-written receipts of cash/check payments that were accepted at the Attorney General's Office from debtors for outstanding debts – dated 2005-2007.			Paper – Obsolete Series – Dispose of upon approval of schedule.		Paper – Shred	4/7/2010

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Record Series Title	Agency and Series Authorization Numbers	Record Series Description	Confidential Description	Vital Description	Retention Period	Retention Justification	Method of Disposal	Date Schedule Approved
Account Transfer Forms & Documentation (Bookkeeping)	062-OAG-16 10551303	Transfer request form and supporting documentation for the transfer of money from one state bank account to another to correct a transfer that was applied to an incorrect account.			Paper – Until audited and audit report released.		Paper – Shred	4/7/2010
Judgment Liens	062-OAG-18 10551534	Lien information used by the Attorney General's office to collect debt owed to state agencies. Judgment liens include information such as the agency owed, debtor name/address, debt account numbers, amount of debt as of a certain date, county and local entity where the lien is recorded, and the case number. The files can also include a lien satisfaction notice stating that the debt has been paid.			Electronic – 5 years after debt satisfied. If debt not satisfied, 5 years after debt written off. Paper – Until scanned and/or data entered.		Electronic – Delete Paper – Shred	12/30/2013

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Record Series Title	Agency and Series Authorization Numbers	Record Series Description	Confidential Description	Vital Description	Retention Period	Retention Justification	Method of Disposal	Date Schedule Approved
Mistaken Identity Affidavits	062-OAG-19 10551557	Mistaken Identity files are created when a lien is mistakenly put on a taxpayer with the same name as another. The taxpayer will provide information about the error and Collections Enforcement will review the issue and cross check CUBS for any hits to determine whether or not the lien was put on the proper person. If it is mistaken identity, an affidavit is needed to prove the mistaken identity. Records include, but are not limited to, the original report of mistaken identity, an affidavit, and, if determined a mistaken identity, a notification about the error to be sent to the Clerk of Courts.	Contains SSN, Drivers Licenses, Medicare Cards, etc. Internal Revenue Codes; 6103, 7213, 7431, and ORC 5703.21.	Proves a person's identity.	Electronic – 2 years Paper – 2 years		Electronic – Delete Paper – Shred	12/11/2014

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Record Series Title	Agency and Series Authorization Numbers	Record Series Description	Confidential Description	Vital Description	Retention Period	Retention Justification	Method of Disposal	Date Schedule Approved
CCMIS Phone Data Logs (Sept. 1993 – May 2014)	062-OAG-20 10551556	CCMIS system phone data logs show when claims account representatives were on the phone and tracked codes for factors that would take staff away from the phone. Logs were used to track work. The records and data maintained by this system have been deemed no longer of use to the office and the series obsolete since they will no longer be created or maintained in CCMIS. Inclusive dates are September of 1993-May of 2014.			Electronic – This is a one-time disposal of obsolete records. The records will be disposed of upon approval of this retention schedule.		Electronic – Delete	12/5/2014

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Federal Tax Information Audit Trail Logs (IRS 1075)	062-OAG-21 10551576	Federal Tax Information (FTI) Audit Trail Logs track the auditing capabilities of an information system holding FTI-related information such as login records, permission and password changes, administrator commands, modifications or deletion of information, and remote network access; identify audit-related information that establish what types of events occurred, when the event occurred, where the event occurred, the source of the event, the outcome of the event, and identification of those associated with the event that occurred within the system; and retains information that will help reconstruct events in the event of unauthorized activity or malfunctions within the information system.	ORC 149.433 – Exempting Security and Infrastructure Records		Electronic – Retain 7 years. Paper – Retain 7 years unless scanned and saved electronically.	The Internal Revenue Code Section 6103(p) and the Publication 1075 require all Audit Trail Logs to be retained 7 years.	Electronic – Delete Paper – Shred	7/23/2015

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Visitor Access Logs (IRS 1075)	062-OAG-22 10551577	The Visitor Access Log is for unauthorized persons to fill out (electronically or physically) when they enter a designated entrance to a restricted area where Federal Tax Information (FTI) is held. The logs must include the name and organization of the visitor, signature of the visitor, for of identification, date of access, time of entry and departure, purpose of visit, and the name and organization of the person visited.			Electronic – Retain 5 years. Paper – Retain 5 years unless scanned and saved electronically.	Based on Internal Revenue Code Section 6103 (Publication 1075), these logs should be retained for 5 years.	Electronic – Delete Paper – Shred	7/23/2015
Disclosure Awareness Certifications (IRS 1075)	062-OAG-23 10551578	Disclosure Awareness Certificates are proof that an employee or contractor that works with Federal Tax Information (FTI) records or information has received training on the disclosure and security requirements of Internal Revenue Codes 7431, 7231, and 7213A.		In the event of disaster, a list of who is certified would be necessary before someone could enter an area with FTI.	Electronic – Retain 5 years. Paper – Retain 5 years unless scanned and saved electronically.	Disclosure Awareness Certificates must be retained for 5 years as stipulated in Internal Revenue Code 6103 (Publication 1075).	Electronic – Delete Paper – Shred	7/23/2015

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Record Series Title	Agency and Series Authorization Numbers	Record Series Description	Confidential Description	Vital Description	Retention Period	Retention Justification	Method of Disposal	Date Schedule Approved
Electronic and Non-Electronic Federal Tax Information Logs (IRS 1075)	062-OAG-24 10551579	Electronic and Non-Electronic Federal Tax Information (FTI) Logs identify and track the location of electronic and non-electronic FTI received by the IRS and includes elements like taxpayer name or other identifying number, tax year(s), type of FTI information, the reason for the request, date requested, date received, exact location of FTI, who has access to the data, and if disposed, the date and method of disposition. FTI transmitted from one mainframe computer to another needs to be identified on the log including the approximate number of taxpayer records, the date of the transmission, the best possible description of the records, and the name of the individual making/receiving the transmission. Actual FTI information should not be maintained on the log.	IRC 6103 – Confidentiality and Disclosure of Returns and Return Information & ORC 5703.21 – Prohibition against Divulging Information – Information Acquired as Result of Audit		Electronic – Retain 5 years. Paper – Retain 5 years unless scanned and saved electronically.	Based on Internal Revenue Code Section (Publication 1075), these logs should be retained for 5 years.	Electronic – Delete Paper – Shred	7/23/2015

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Record Series Title	Agency and Series Authorization Numbers	Record Series Description	Confidential Description	Vital Description	Retention Period	Retention Justification	Method of Disposal	Date Schedule Approved
Foreclosure Case Files	062-OAG-25 10551586	Case files compiled when the State Ohio is a lien holder in a foreclosure case. Can include, but is not limited to, the complaint, the AGO answer, correspondence, and copies of pleadings and other documents submitted by parties in the case.	Possible attorney/client privilege or attorney work product.		Electronic – Retain 8 years from opening of case or 1 year after AGO disclaims interest, whichever is earlier. Transient documents can be deleted when they are no longer of administrative value. Paper – Until scanned or transient records are no longer of administrative value.	Since the AGO is not directly involved in litigating the case, it is difficult to know when a case has closed, so we have added a few years to the retention to allow time for the case to run its course from date open. Additionally, as a party to the case, the AGO sent copies of court filings which it does not use and which ware available on most clerk of court websites. These documents are transient and should be disposed of when no longer of administrative value.	Electronic – Delete Paper - Shred	12/3/2015

Record Series Title	Agency and Series Authorization Numbers	Record Series Description	Confidential Description	Vital Description	Retention Period	Retention Justification	Method of Disposal	Date Schedule Approved
Phone System Recordings (Collections)	062-OAG-26 10551675	Recordings of in-bound and out-bound calls for quality assurance, security assessment, or for a Collections-related matter(s). [Any call needed for investigation, litigation, or for a Collections-related matter(s) will be copied from the system and retained according to the appropriate retention schedule for the investigation or case to which it pertains.]	Calls could contain personally identifiable information, confidential personal information, or IRS 1075 tax information.		Electronic – Records automatically deleted after 90 days based on third-party service's recording systems. [Any call needed for investigation, litigation, or for a Collections-related matter(s) will be copied from the system and retained according to the appropriate retention schedule for the investigation or case to which it pertains.]		Electronic – Delete	2/5/2018

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Record Series Title	Agency and Series Authorization Numbers	Record Series Description	Confidential Description	Vital Description	Retention Period	Retention Justification	Method of Disposal	Date Schedule Approved
Debt Account Files	062-OAG-27 10551696	Records tracking debts owed and payment history to client agencies collected by the Ohio Attorney General's Office per ORC 131.02. Records include, but are not limited to, details about the debt (findings for recovery, foreclosure, bankruptcy, crime victim, offer-in-compromise (OIC)), notes on actions related to account, financial profile of debtor, information on payments and adjustments, current balances, certification of account, liens, resolution and settlements, and liquor permits, May also contain litigation material like lien information, notes from client, attorney notes, and findings for recovery.	Contains personal private information and federal tax information protected by ORC 149.43, ORC 5703.21, 26 US Code § 6103, 26 US Code § 7213, and 26 US Code § 7431.	Information in these records may be possibly the only payment history for a debtor.	Electronic – Retain up to 40 years unless otherwise specified by rule or client agreement, or 10 years if debt is satisfied, discharged, or canceled; whichever occurs first. Paper – Retain up to 40 years unless otherwise specified by rule or client agreement, or 10 years if debt is satisfied, discharged, or canceled; whichever occurs first. If scanned and saved electronically, dispose of paper immediately.	ORC 131.02(F)(2) allows the Attorney General to cancel unsatisfied claims 40 years from date the claim is certified. The Attorney General may cancel claims prior to 40 years if a rule is adopted or agreement with the client agency is made to cancel the claim earlier.	Electronic – Delete Paper – Shred	6/9/2025

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Record Series Title	Agency and Series Authorization Numbers	Record Series Description	Confidential Description	Vital Description	Retention Period	Retention Justification	Method of Disposal	Date Schedule Approved
Special Counsel/Third Party Vendor Firm Files	062-OAG-28 10551697	Files maintained on attorneys who have applied to serve as special counsel to the Attorney General's Office Collections Enforcement section. Records include, but are not limited to, copies of signed retention agreements, Bureau of Workers Compensation insurance certificate, appointment letter, activity tracking reports and correspondence.	May contain information protected by ORC 149.43, such as social security information, as well as security infrastructure information (ORC 149.433).		Electronic – Retain 8 years from expiration of appointment. Paper – Retain 8 years from expiration of appointment, unless scanned and saved electronically.	Per ORC 2305.06, an action upon a specialty or an agreement, contract, or promise in writing shall be brought within 8 years after the cause of action accrued.	Electronic – Delete Paper – Shred	11/5/2018
Unable to Locate (UTL) Payments and Refunds	062-OAG-29 10551694	Payments or refund requests received by the Ohio Attorney General's Office's Collections Enforcement section, but are unable to be connected to an existing debtor account file.	Contains personal private information and federal tax information protected by ORC 149.43, ORC 5703.21, 26 US Code § 6103, 26 US Code § 7213, and 26 US Code § 7431.	May be the only copy of this information.	Electronic – Retain 5 years. Paper – Retain 5 years, unless scanned and saved electronically.	Funds not claimed within 5 years shall be reverted to the general fund of the public office (ORC 9.39).	Electronic – Retain 5 years. Paper – Retain 5 years, unless scanned and saved electronically.	11/5/2018

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Record Series Title	Agency and Series Authorization Numbers	Record Series Description	Confidential Description	Vital Description	Retention Period	Retention Justification	Method of Disposal	Date Schedule Approved
Debt Manager Reports	062-OAG-30 10551695	Account list reports generated daily to summarize day's work (transactions, certifications, adjustments, etc.), errors that have occurred with the file transfer process, listing of accounts, system activity, and other reference purposes.	Contains personal private information and federal tax information protected by ORC 149.43, ORC 5703.21, 26 US Code § 6103, 26 US Code § 7213, and 26 US Code § 7431.		Electronic – Retain 3 years.		Electronic – Delete	11/1/2023
Customer Engagement Records	062-OAG-31 10551794	Records used to schedule meetings with external constituents concerning their accounts and other general inquiries to the Collections Enforcement section. Records include, but are not limited to, scheduling of meetings with constituents, notes, and documents shared.			Electronic – Retain 30 days and then destroy.		Electronic – Delete	1/10/2022