

THIN LINE SOFTWARE

PERSONNEL RECORDS CHECKLIST

TCOLE Personnel File & OTRR Readiness Checklist

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Printable take-away from How Texas agencies should organize personnel records, prepare for OTRR, and manage the employment-record lifecycle.

TCOLE Personnel File & OTRR Readiness Checklist

A practical readiness checklist for Texas law-enforcement agencies. Confirm that records are being created and placed in the appropriate TCOLE category. Do not treat every item as an A-File document or as a single OTRR upload.

Agency setup

- ☐ Confirm the current TCOLE Personnel Files policy has been adopted, or the agency has an approved substantively similar policy, as required (agency adoption date June 1, 2025).
- ☐ Confirm the current Hiring Procedures policy, or a substantively similar policy (agency adoption date June 1, 2025).
- ☐ Confirm the current Misconduct Allegations policy, or a substantively similar policy (agency adoption date June 1, 2025).
- ☐ Confirm adopted policies were submitted to TCOLE / the Field Service Agent as current TCOLE guidance requires.
- ☐ Identify agency File Uploader(s), including CSED Uploader and Secure Share Uploader assignments as applicable.
- ☐ Identify Background Investigator(s).
- ☐ Confirm required TCOLE Login Hub access for each assigned person.
- ☐ Confirm applicable Assignment Status Manager assignments in TCLEDDS. Allow 24 to 48 hours for an assignment to take effect in OTRR, as current TCOLE training describes.
- ☐ Confirm each assigned user has a PID and a TCLEDDS association as licensed or non-licensed staff.
- ☐ Identify who oversees personnel-file compliance. The chief administrator remains accountable.
- ☐ Document backup responsibility for uploads, background requests, and role assignment.

File structure

- ☐ Personnel / A-File established for each license holder.
- ☐ Department / G-File established for each license holder, marked as current TCOLE policy requires.
- ☐ TCOLE Credentialing File established.
- ☐ Other Agency Files identified as required by the local retention schedule.
- ☐ Existing documents reviewed for correct classification under current TCOLE categories.
- ☐ Restricted / non-shareable records identified, including CCH/fingerprint returns and proof of citizenship.
- ☐ Local retention requirements documented. Uploading to OTRR does not replace them.

During employment

- ☐ Appointment and hiring records created and filed in the appropriate category (application, PHS, consent/release, background investigation, interview materials, appointment forms).
- ☐ Credentialing documents maintained where applicable (L-1/L1-T, L-2, L-3, F-5R, BCF, NDI documentation, court documents).
- ☐ Training, FTO, probationary, and remedial-training records maintained in the training / department category-not assumed to be A-File documents.
- ☐ Periodic evaluations completed and placed in the A-File, including any licensee response.
- ☐ Commendations and awards placed in the A-File.
- ☐ Firearms qualifications maintained in the credentialing file as applicable.
- ☐ Employment-change records (promotion, demotion, assignment or pay change, performance-improvement plan) filed in the category current TCOLE guidance uses.
- ☐ Misconduct allegations investigated under the adopted Misconduct Allegations policy, including after separation when an investigation is pending.
- ☐ Completed investigation documentation placed in the A-File or G-File, as appropriate.
- ☐ Final disciplinary actions for suspension, demotion, or termination placed in the A-File, with required notice and any licensee response.
- ☐ MIRs prepared and available for timely TCOLE / OTRR submission. Current OTRR guidance allows upload during the appointment.
- ☐ CCH/fingerprint returns and proof of citizenship retained as required locally and excluded from OTRR sharing.

At separation

- ☐ Confirm the separation date. The 30-calendar-day OTRR / TCOLE personnel-file deadline runs from separation.
- ☐ Complete any pending misconduct investigation. Separation does not end that duty.
- ☐ Review the Personnel / A-File for commendations, evaluations and responses, final disciplinary actions and responses, and MIRs.
- ☐ Confirm required documents are complete. If the licensee has no personnel file, upload a memo explaining that, as current OTRR FAQs require.
- ☐ Identify the applicable TCOLE / OTRR CSED submission records. Do not treat the entire employment file as the CSED upload.
- ☐ Upload required personnel-file records and MIRs in OTRR within 30 calendar days of separation. Records may also be uploaded before separation.
- ☐ Submit required separation reporting to TCOLE under Occupations Code § 1701.452 / 37 TAC § 211.29.
- ☐ Confirm the OTRR submission.
- ☐ Retain agency copies according to the applicable city or county retention schedule.

When another agency requests records

- ☐ Verify the OTRR request and the assigned File Uploader responsibility.

- ☐ Confirm the required authorization / consent (Authority to Release Information).
- ☐ Identify responsive CSED and Secure Share records using the current TCOLE file-type matrix.
- ☐ Review for current TCOLE sharing requirements and restrictions. Do not share CCH/fingerprint returns or proof of citizenship.
- ☐ Upload or provide records within 10 calendar days of the request, as current OTRR FAQs require.
- ☐ Do not withhold applicable Secure Share-type records based on an NDA if a signed authorization was received, as current TCOLE file-type guidance states.
- ☐ Document completion.

When your agency is hiring

- ☐ Obtain the applicant's completed Personal History Statement and written consent / Authority to Release Information before reviewing employment records.
- ☐ Assign or confirm the Background Investigator role in the Assignment Status Manager.
- ☐ Identify prior appointing agencies, academies, and applicable TCOLE records.
- ☐ Upload the signed Authority to Release Information in OTRR and request records. Do not expect instant production.
- ☐ Review returned records within the current access window (opened files marked late after 14 days; Secure Share files available 60 days after creation).
- ☐ Review files electronically or in person. File review may not be done by phone.
- ☐ Document findings in the background investigation report and complete the current BCF / L-1 process.
- ☐ Complete remaining Hiring Procedures steps (medical and psychological examinations, fingerprint search, firearms qualification as applicable) before appointment.
- ☐ If a prior agency does not respond, follow current Hiring Procedures escalation, including Field Service Agent assistance after the policy's contact steps.

Checklist disclaimer

This checklist is a practical workflow aid. It does not replace current TCOLE statutes, commission rules, model policies, OTRR instructions, or guidance.

Generated from the Thin Line Software resource library. Read this guide online: <https://thinline.software/resources/texas-law-enforcement-personnel-files-otrr-guide#personnel-records-checklist>