Texas State
Records Retention Schedule

5th Edition

Effective May 10, 2020
Texas Administrative Code, Title 13, Chapter 6, Section 6.10

TEXAS STATE LIBRARY AND ARCHIVES COMMISSION

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.

INQUIRIES AND COMMENTS REGARDING THIS SCHEDULE SHOULD BE DIRECTED TO:

TEXAS STATE LIBRARY AND ARCHIVES COMMISSION
STATE AND LOCAL RECORDS MANAGEMENT DIVISION
PO BOX 12927
AUSTIN, TEXAS 78711-2927
512-463-7610

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INTRODUCTION

The Texas State Records Retention Schedule (RRS) is adopted as an administrative rule of the Texas State Library and Archives Commission and supersedes the schedule of August 31, 2016.

This retention schedule indicates the minimum length of time listed records series must be retained by a state agency before destruction or archival preservation. The RRS does not take the place of an agency's retention schedule, but it is to be used as a guide by the agency in creating and updating its schedule. Records series listed on the RRS are those that are commonly found in most state agencies. The retention periods given in the RRS are required minimums. The commission also recommends them as appropriate maximum retention periods.

In addition to the common records listed in the RRS, each agency has unique records series that must be included in its retention schedule. Each agency must submit a complete records retention schedule, entered on Form SLR 105, or an approved facsimile, to the State and Local Records Management Division of the Texas State Library and Archives Commission (Government Code, §441.185).

Some records in this schedule must be transferred to the Archives and Information Services Division of the Texas State Library and Archives Commission for archival preservation after they are no longer needed in the agency; other records in this schedule are subject to archival review for historical value by staff of the same division before disposal.

If a federal or state statute or regulation specifies a longer retention period for any records series received, created, or maintained by an agency, the statute or regulation overrides this schedule.

SUMMARY OF IMPORTANT POINTS

- The RRS does not take the place of an agency records retention schedule.
- The RRS is to be used as an authoritative guide in creating and updating an agency records retention schedule.
- Retention periods listed in the RRS are required minimums. Some agencies may need to keep some of the records listed for longer periods; agency legal staff should be consulted.
- Federal or state statutes or regulations requiring longer retention periods override retention periods in the RRS.
- For individual records series, there may be requirements in law or regulation for submitting copies of records to other state agencies. Each agency should determine any requirements for filing copies that may apply to the agency's specific records series.
- TSLAC acknowledges that state agencies that utilize certain state-mandated and state-supported systems, including CAPPS, ABEST, and USAS, may not be the custodians of the records maintained in those systems. Agencies are advised to consult with their own legal counsel regarding final disposition of those records. Record copies maintained by the agencies should be retained according to prescribed retention periods.
- Each agency must submit a complete records retention schedule to the State and Local Records Management Division of the Texas State Library and Archives Commission.
- For assistance in evaluating records having possible historical value, contact the Archives and Information Services Division of the Texas State Library and Archives Commission at 512-463-5455.

EXPLANATION OF FIELDS

RECORDS SERIES ITEM NUMBER — Records series item numbers are assigned by the State and Local Records Management Division of the Texas State Library and Archives Commission.

RECORDS SERIES TITLE — The most general titles possible have been chosen. Explanations are provided for those titles which are not self-explanatory.

ARCHIVAL — Those records series that must be transferred to the Archives and Information Services Division of the Texas State Library and Archives Commission for archival management. Archival codes are shown in the lower right corner of each page of the schedule (see page ix).

RETENTION PERIOD — Retention is expressed in years unless otherwise noted. Retention codes are listed in the lower left corner of each page of the schedule (see page x).

REMARKS — This column contains citations to applicable federal or state laws or regulations or other information regarding records retention requirements.

EXPLANATION OF CODES

ARCHIVAL CODES:

A The records must be transferred to the Archives and Information Services Division of the Texas State Library and Archives Commission.

R The Archives and Information Services Division must be contacted for an archival review of the records before disposition. Those records determined to be archival must be transferred to the Archives and Information Services Division for long-term preservation.

Special Note: Staff of the Archives and Information Services Division conduct archival appraisals on a series by series basis. As a result of these appraisals, one or more records series of an agency bearing the Archival Code R may be found to lack sufficient archival value to merit transfer to the Archives and Information Services Division. In such instances, the agency will be instructed to use a special Archival Code E for the record series.

The following criteria should be considered when identifying archival litigation files (see RSIN 1.1.048):

- any landmark legal opinion;
- cases that change the way an agency operates;
- any case with a high degree of inherent legal interest;
- any case that involved significant people or events;
- any case that received a high degree of media attention;
- natural resource litigation (land and /or oil disputes with statewide impact, water rights and open beach cases);
- cases where monetary judgments exceed $10 million;
- cases involving a minimum of $1 million in state tax revenue; or
- records that, in the opinion of the agency's legal counsel, contain highly concentrated, unique, and valuable information unlikely to be found in any other source available to researchers.

RETENTION CODES: All numbers used with retention periods are expressed in years unless otherwise indicated.

AC After Closed (or terminated, completed, expired, or settled): The record is related to a function or activity with a finite closure date.

AV As Long as Administratively Valuable: The immediate purpose for which the record was created has been fulfilled and any subsequent need for the record to conduct the operations of the agency, if any, has been satisfied.

CE Calendar Year End: December 31.

FE Fiscal Year End: August 31.

LA Life of Asset: The record is retained until the deposit of the asset.

PM Permanent: A record that possesses enduring legal, fiscal, or administrative value and must be preserved permanently by the agency.

US Until Superseded: The record is replaced by an updated version. If a record subject to this retention period is discontinued or is no longer required by law, the date of supersession is the date the decision to discontinue the record is made or the law takes effect. If the record relates to an employee, the date of supersession is the date of termination or the last date the record is needed with reference to the employee, as applicable.

EXPLANATION OF TERMS

ARCHIVES NOTE – Emphasizes the need for action/attention by agency to ensure records with archival value are properly maintained/retained.

CFR – Code of Federal Regulations. Regulations of federal agencies adopted under authority of laws enacted by the U.S. Congress.

RECORD COPY – The document which is kept on file as an original or official record for the total retention period. It is distinct from a "working" or "convenience" copy, which is a duplicate used for reference purposes.

> **Caution:** Care must be taken by records management officers in determining if duplicate records are, indeed, convenience copies or if two or more copies of the same document must be considered record copies. It is very possible for the same document to be present in two or more units of a state agency and be the record copy in each unit if it serves a different function in each of those units.

RECORDS SERIES – A group of identical or related records with the same function and the same retention period that is evaluated as a unit for retention scheduling purposes.

RETENTION PERIOD – The amount of time a records series must be retained before destruction or archival preservation.

STATE PUBLICATION – Information in any format that is publicly distributed and produced by the authority of or at the total or partial expense of a state agency or is required to be distributed under law by the agency. The term does not include information the distribution of which is solely limited to contractors with or grantees of the agency, staff persons within the agency or within other government agencies, or members of the public under a request made under the Public Information Act, Government Code, Chapter 552. The term includes but is not limited to: a publication distributed in print; on microform; as audiovisual material; as interactive media or on electronic external storage device; as an online publication (including websites); which is an index to other online publications; as one or more text, graphic, or other digital files; or as a user interface to a computer database.

TAC — Texas Administrative Code. Regulations of state agencies adopted under authority of laws enacted by the Texas Legislature.

TRANSITORY INFORMATION — Records of temporary usefulness that are not an integral part of a records series of an agency and 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.

AMENDMENT NOTICE

Occasionally, a records series will be deleted from this schedule because it has been determined that it is not a record maintained in most agencies, but it may remain a specialized record in some agencies.

Missing numbers in the Records Series Item Number sequence indicate that in prior editions of this schedule a records series was eliminated, combined with another records series, or was re-numbered.

Category 1: Administrative Records

Section 1.1 – General

Record Series Item No. (RSIN)	Record Series Title	Record Series Description	Archival	Retention Period	Remarks
1.1.002	Audits	Audits and reviews performed by or on behalf of an agency, including the working papers that support the audit. Also includes audits performed on the agency.		AC+7	AC= Publication or release of final audit findings. The State Auditor's Office (SAO) retains any copies of its audits performed on Texas state agencies. See RSIN 5.4.018 and 5.4.019 for Audit Plan records.
1.1.004	Legislative Appropriation Requests (LAR)	Including any supporting documentation created and/or used to justify and support legislative appropriations requests by an agency.		AC+6	AC= September 1 of odd-numbered calendar years. ARCHIVES NOTE: The final version of Legislative Appropriation Requests must be submitted to the Texas State Publications Depository Program per 13 TAC 3.3(a)(3)(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.

Record Series Item No. (RSIN)	Record Series Title	Record Series Description	Archival	Retention Period	Remarks
1.1.006	Complaint and Feedback Records	Complaints and other unsolicited feedback received by an agency from the public concerning the agency and records pertaining to the resolution of complaints.		AC+2	AC= Date of receipt, action taken, or final disposition of the complaint, whichever comes last. 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.
1.1.007	Correspondence – Administrative	Incoming/outgoing and internal leadership, supervisory, managerial, executive, administrative, substantive, and other high-level correspondence in any media, including electronic communication, 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.	R	4	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.

Record Series Item No. (RSIN)	Record Series Title	Record Series Description	Archival	Retention Period	Remarks
1.1.008	Correspondence – General	Non-administrative incoming/outgoing and internal correspondence, in any media, including electronic communication, 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.
1.1.010	Directives	Any document that officially initiates, rescinds, or amends general office procedures.		US+1	
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.	A	US+3	
1.1.013	Calendars, Appointment, and Itinerary Records	Calendars, appointment books or programs and scheduling, or itinerary records maintained by staff during business hours that document appointments, itineraries, and other activities of agency officials or employees.	R	CE+1	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.

Record Series Item No. (RSIN)	Record Series Title	Record Series Description	Archival	Retention Period	Remarks
1.1.014	Legal Opinions and Advice	From agency legal counsel or the Attorney General, including any requests eliciting the opinions.	R	AV	CAUTION: Does not include legal opinions or advice rendered on a matter in litigation or with regard to pending litigation, or opinions rendered for Public Information Act Requests. See RSIN 1.1.048, 1.1.020, and 1.1.021. ARCHIVES NOTE: Opinions and advice 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. See page ix for additional guidelines.
1.1.019	Public Relations Records	News, press releases, marketing files and collateral, or any public relations files maintained or issued by an agency. Includes print, electronic, audio, and audiovisual records.	R	2	
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 the Public Information Act (Chapter 552, Government Code). Also includes withdrawn requests.		AC+1	AC= Date request fulfilled or withdrawn.
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= Date of notification that records are excepted.

Record Series Item No. (RSIN)	Record Series Title	Record Series Description	Archival	Retention Period	Remarks
1.1.023	Organization Charts	Charts or diagrams that show the structure of an agency and the relationships and relative ranks of its departments and job positions.	A	US	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.
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 neither included in nor directly related to other records series in this schedule.	R	AC+3	AC= Decision made to implement or not to implement result of planning process. ARCHIVES NOTE: Data processing planning records are not archival.
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.
1.1.027	Proposed Legislation	Drafts of proposed legislation and related correspondence.		AV	
1.1.038	Customer Surveys	Surveys soliciting feedback from customers or clients of an agency, and the statistical data maintained rating an agency's performance.		AC	AC= Final disposition of summary report, or date of decision not to produce a report, as applicable. See RSIN 1.1.067 for summary reports compiled from customer surveys.

Record Series Item No. (RSIN)	Record Series Title	Record Series Description	Archival	Retention Period	Remarks
1.1.040	Speeches, Papers, and Presentations	Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	R	AC+2	AC= End of event, until superseded, or obsolete. 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.
1.1.043	Training Materials	Instructional materials and other records developed by an agency associated with training the entities or non-personnel individuals it regulates or 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 = 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.
1.1.048	Litigation Files	Records created by or on behalf of an agency in anticipation of or in the adjudication of a lawsuit.	R	AC+1	AC= As applicable, decision of an agency not to file a lawsuit or decision that a lawsuit will not be filed against it on a matter; dismissal of a lawsuit for want of prosecution or on motion of the plaintiff; or final decision of a court (or of a court on appeal, if applicable) in a lawsuit. ARCHIVES NOTE: Cases that set legal precedent or exhibit historical value will be evaluated by the Archives and Information Services Division of the Texas State Library and Archives Commission for archival preservation. See page ix for more information.

Record Series Item No. (RSIN)	Record Series Title	Record Series Description	Archival	Retention Period	Remarks
1.1.053	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 (TEC).		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.
1.1.055	Strategic Plans	Operational strategic plans, which include descriptions of information resources programs, prepared in accordance with Government Code, 2054.095 and 2056.002. Includes working files and related documentation used in creating the final plan.		AC+6	AC= September 1 of odd-numbered calendar years. ARCHIVES NOTE: The final version of Strategic Plans must be submitted to the Texas State Publications Depository Program per 13 TAC 3.3(a)(2)(C). 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.
1.1.056	ADA (Americans with Disabilities Act) Documentation	Self-evaluations and plans documenting compliance with the requirements of the Americans with Disabilities Act.		3	28 CFR 35.105(c).

Record Series Item No. (RSIN)	Record Series Title	Record Series Description	Archival	Retention Period	Remarks
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. See page xii for examples.		AC	AC= Purpose of record has been fulfilled. CAUTION: Records management officers should make certain records 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 (RSIN 1.2.001) or in records disposition logs (RSIN 1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (RSIN 1.2.014).
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.	A	PM	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.

Record Series Item No. (RSIN)	Record Series Title	Record Series Description	Archival	Retention Period	Remarks
1.1.059	Meetings, Agendas and Minutes or Audiovisual Recordings of Closed	Agendas, minutes, or audiovisual recordings of closed meetings of state boards, commissions, committees, and councils.		AC+2	AC= The date of the meeting or completion of pending action involving the meeting, whichever is later. See caution comment at RSIN 1.1.058. Government Code, 551.104(a).
1.1.060	Meetings, Audiovisual Recordings of Open	Audiovisual recordings of open meetings of state boards, commissions, committees, and councils.		AC+90 days	AC= Approval of written minutes of the meeting by the governing body of an agency. CAUTION: It is an exception to the AC+90 days retention that if an agency does not prepare written minutes, it must retain recordings of open meetings permanently, following the same retention requirements of RSIN 1.1.058. See also caution comment at RSIN 1.1.058.
1.1.061	Meetings – Notes	Notes taken during open meetings of state boards, commissions, committees, and councils from which written minutes are prepared.		AC+90 days	AC= Approval of the written minutes by the governing body. See caution comment at RSIN 1.1.058.
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.	A	2	See caution comment at RSIN 1.1.058.

Record Series Item No. (RSIN)	Record Series Title	Record Series Description	Archival	Retention Period	Remarks
1.1.063	Staff Meeting Minutes and Notes	Minutes or notes, and supporting documentation, taken at internal agency staff meetings.		1	
1.1.064	Agency Performance Measures Documentation	Any records of an agency needed for the documentation of output, outcome, efficiency, and explanatory measures in an agency's appropriations request or strategic plan, and for performance measures used to manage the agency.		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.
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.
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 working files and related documentation used in creating final report.		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.

Record Series Item No. (RSIN)	Record Series Title	Record Series Description	Archival	Retention Period	Remarks
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.	R	3	See RSIN 1.1.065 for raw data used to produce reports. 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 for more information.
1.1.068	Reports on Performance Measures	Quarterly and annual reports on agency performance measures submitted to executive and legislative offices.		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.
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.

Record Series Item No. (RSIN)	Record Series Title	Record Series Description	Archival	Retention Period	Remarks
1.1.070	Agency Rules, Policies, and Procedures	Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects. Includes working files and related documentation used in creating rules, policies, and procedures.	R	AC+3	AC= Until superseded, or termination of program, rules, policies, or procedures, whichever applicable. 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.
1.1.072	Public Information Reports	Reports made to the Office of Attorney General (OAG) on an agency's Public Information Act activities, per Government Code, 552.010.		2	
1.1.073	Administrative Hearings	Transcripts and final decisions of hearings conducted as part of the regulatory process, and hearings on proposed rules and changes.	R	AC+3	AC= Last action. CAUTION: These records may be maintained with related information, including meeting notices, proofs of publication, and meeting minutes, and require a longer retention period.
1.1.074	Sunset Review Report and Related Documentation	Sunset Review Report, agency self-study, and other correspondence and supporting documentation related to the Sunset review process for state agencies.	R	AC+3	AC= After the subsequent Sunset Review.

Record Series Item No. (RSIN)	Record Series Title	Record Series Description	Archival	Retention Period	Remarks
1.1.075	Alternative Dispute Resolutions – Final Agreement	Final agreement described by Government Code, 2009.054(c), associated with a matter conducted under an alternative dispute resolution procedure in which personnel of a state agency participated as a party on the agency's behalf.		AC+4	AC= Date of final agreement. Texas Civil Practice and Remedies Code, 154.071.
1.1.076	Subpoenas	Subpoenas for production of evidence produced for litigation in which the state agency is not a party. Includes legal documents requiring recipient to appear in court to testify, or to produce records to be used in litigation.		AC	AC= Date request fulfilled. For subpoenas related to litigation in which the state agency is a party, see RSIN 1.1.048.
1.1.077	Release of Records Documentation	Records that document the release of records or information through any method other than a Public Information Act request or subpoena (including employment verification).		AC	AC= Date records released. See RSIN 1.1.020 for records released under the Public Information Act. See RSIN 1.1.076 for records produced for a subpoena. See RSIN 1.1.048 for records produced for litigation. CAUTION: Some records releases may require longer retention period. Agencies must determine if longer retention period is required based on any federal or state statutes or regulations that apply to the agency's functions. Agency legal staff should be consulted.

Record Series Item No. (RSIN)	Record Series Title	Record Series Description	Archival	Retention Period	Remarks
1.1.078	Waivers of Liability	Waivers of liability, including statements signed by volunteers acknowledging non-entitlement to benefits, agreeing to abide by state agency policies, etc.		AC+3	AC= Date of cessation of activity for which the waiver was signed. CAUTION: If an accident occurs to any person covered by a signed waiver of liability, it must be retained for the same period as accident reports. See RSIN 5.4.001 and 5.4.014.

Category 1: Administrative Records

Section 1.2 – Records Management

Record Series Item No. (RSIN)	Record Series Title	Record Series Description	Archival	Retention Period	Remarks
1.2.001	Destruction Authorizations	Documents authorizing final disposition of records under a certified records retention schedule. Records may also include destruction authorizations (e.g. form RMD 102) approved by Texas State Library and Archives Commission.		3	CAUTION: If destruction authorizations are maintained as part of RSIN 1.2.010 (Records Disposition Logs), then longer retention period applies.
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.
1.2.005	Records Retention Schedule	A records retention schedule (i.e. form SLR 105) that identifies the records that are created and maintained by an agency, provides the minimum timeframes the records must be retained, and includes instructions for their disposition. This series may include working files and documentation of certification and approval by the Texas State Library and Archives Commission.		US	Original is retained for 50 years by the State and Local Records Management Division, Texas State Library and Archives Commission.

Record Series Item No. (RSIN)	Record Series Title	Record Series Description	Archival	Retention Period	Remarks
1.2.006	Records Transmittal Forms	Forms used to track the transmittal of records to/from onsite and offsite storage areas or a transfer of physical custody.		AV	
1.2.010	Records Disposition Logs	Logs or similar records listing records disposed of by an agency, which might include records series title, dates of records, and date of disposition.		10	CAUTION: Disposition can mean destroyed or transferred.
1.2.011	Record Center Storage Approval Forms (RMD 106)	Agency copy of form RMD 106 granting a state agency the authorization to store records at the State Records Center.		AV	Obsolete record.
1.2.012	Records Inventories	Worksheets or working papers used to capture records inventory information, including location tracking and to document existence and requirements of a records series.		US	
1.2.013	Records Access and Locator Aids	Documentation used to provide and improve access to records. Includes indexes, card files, shelf lists, registers, guides, and other finding aids.		AC	AC= When aid is superseded, or no longer needed because associated records have been destroyed. CAUTION: These records must carry the same retention period and archival code of the records they support.
1.2.014	Records Management Policies and Procedures	Records management plans and similar records that establish the policies and procedures under which records and information are managed in an agency.		US+1	

Record Series Item No. (RSIN)	Record Series Title	Record Series Description	Archival	Retention Period	Remarks
1.2.015	Disaster Recovery Service Transmittals	Transmittals and related service documentation (e.g. form RMD 109) for disaster recovery services provided by TSLAC or other entities.		AV	
1.2.016	Disaster Recovery Service Approval Forms	Forms used by TSLAC (e.g. form RMD 113) or other entities to establish disaster recovery services, authorize agency staff to access the media, etc.		AC	AC= Until superseded or termination of service.

Category 1: Administrative Records

Section 1.3 – State Publications

Record Series Item No. (RSIN)	Record Series Title	Record Series Description	Archival	Retention Period	Remarks
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, 441.103-441.105). 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 §§3.1-3.8).
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.	R	AV	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.

Category 2: Information Technology Records

Section 2.1 – Automated Applications

Record Series Item No. (RSIN)	Record Series Title	Record Series Description	Archival	Retention Period	Remarks
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.
2.1.007	Computer Software Programs	Agency-developed automated software applications, operating system files, and associated processing files, including job control language, programs, applications, scripts, 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.

Record Series Item No. (RSIN)	Record Series Title	Record Series Description	Archival	Retention Period	Remarks
2.1.008	Computer Hardware Documentation	Records documenting operational and maintenance requirements of computer hardware such as operating manuals, hardware/operating system requirements, hardware configurations, 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.
2.1.009	Hardware and Software 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.

Record Series Item No. (RSIN)	Record Series Title	Record Series Description	Archival	Retention Period	Remarks
2.1.010	Audit Trail Records	Files needed for electronic data audits. Records include but are not limited to: reports showing transactions accepted, rejected, suspended, and/or processed; history files or tapes; records of updates to application files; and security logs.		AC	AC= All audit requirements have been met.

Category 2: Information Technology Records

Section 2.2 – Computer Operations and Technical Support

Record Series Item No. (RSIN)	Record Series Title	Record Series Description	Archival	Retention Period	Remarks
2.2.001	System or Computer Monitoring Records	Hardware and 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 (RSIN 1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (RSIN 1.2.014).
2.2.002	Chargeback Records to Data Processing Services Users	Records documenting usage, costs, billing, cost recovery, budgeting, and administrative functions of computer usage and data processing services for individual units / departments / divisions in an agency.		FE+3	
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.
2.2.011	Data Input Documents	Forms and logs used to enter and reconcile data sets submitted for processing.		AC	AC= Data entered into applicable system and, if required, verified.

Record Series Item No. (RSIN)	Record Series Title	Record Series Description	Archival	Retention Period	Remarks
2.2.013	Quality Assurance Records	Information verifying the quality of system, hardware, or software operations. Records include but are not limited to: 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.		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.
2.2.014	Internet Browser Files	A record of web pages visited during an internet session, including data files of user-specific information created by the webserver, that allows users to access previously visited pages more quickly or to generate a record of usage of a state-owned computer.		AV	The disposal of internet history records need not be documented through destruction authorizations (RSIN 1.2.001) or in records disposition logs (RSIN 1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (RSIN 1.2.014).
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	
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	

Record Series Item No. (RSIN)	Record Series Title	Record Series Description	Archival	Retention Period	Remarks
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.

Category 3: Personnel Records

Section 3.1 – Employee

Record Series Item No. (RSIN)	Record Series Title	Record Series Description	Archival	Retention Period	Remarks
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 [State Agencies]. 29 CFR 1602.49(a) [State Universities].
3.1.002	Applications for Employment – 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+5	AC = Termination of employment.
3.1.006	Employee Counseling Records	Notes, memoranda, or reports relating to the counseling of an employee for work-related, personal, or substance abuse problems. Usually maintained at the supervisorial level except in those agencies with counseling staff.		AC+3	AC= Termination of counseling.

Record Series Item No. (RSIN)	Record Series Title	Record Series Description	Archival	Retention Period	Remarks
3.1.011	Employee Benefits	Agency copies of information relating to the selection by employees of life, disability, health, vision, dental, disability, and other types of insurance or benefits offered by the State of Texas to its employees.		AC	AC= Until superseded or termination of employment. CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for RSIN 3.2.001.
3.1.012	Employment Opportunity Announcements	Internal or external announcements or advertisements of job openings, promotions, training programs, or opportunities for overtime.		2	29 CFR 1602.31 [State Agencies]. 29 CFR 1602.49(a) [State Universities].
3.1.013a	Employment Contracts – 9/1/2015 and After	Includes a contract or agreement regarding the terms and conditions of employment of an individual and a contract with a vendor for temporary staffing services. Executed, renewed, or amended on or after September 1, 2015.		AC+7	AC= Expiration or termination of the contract according to its terms. SB20 (84th Leg.)
3.1.013b	Employment Contracts – 8/31/2015 and Prior	Includes a contract or agreement regarding the terms and conditions of employment of an individual and a contract with a vendor for temporary staffing services. Executed, renewed, or amended on or before August 31, 2015.		AC+4	AC= Expiration or termination of the contract according to its terms. SB20 (84th Leg.)

Record Series Item No. (RSIN)	Record Series Title	Record Series Description	Archival	Retention Period	Remarks
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; polygraph examination results; 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-employments skills tests; see RSIN 3.3.027 and 3.3.028. 29 CFR 1602.31 [State Agencies]. 29 CFR 1602.49(a) [State Universities].
3.1.018	Grievance Records	Records relating to the review of employee grievances or complaints against personnel policies, working conditions, etc.		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.
3.1.019	Performance Appraisals	Job evaluations, performance appraisals, or other similar documents used to evaluate the performance of an employee.		2	29 CFR 1620.32(c).
3.1.020	Personnel Corrective Action Documentation	Corrective actions are those actions which do not affect pay, status, or tenure and are imposed to correct or improve an employee's job performance.		AC+5	AC= Termination of corrective action. CAUTION: If, during the retention period of this records series, any part of this series is used to document and support personnel disciplinary action under RSIN 3.1.021, all documentation from this series used to support disciplinary action must be retained for the minimum retention period described by RSIN 3.1.021.

Record Series Item No. (RSIN)	Record Series Title	Record Series Description	Archival	Retention Period	Remarks
3.1.021	Personnel Disciplinary Action Documentation	Disciplinary actions are those actions which may affect pay, status, or tenure. They are imposed to discipline an employee whose conduct is harmful to the best interests of the state, the agency, or the employee work force; and for failure to improve performance or conduct following imposition of corrective action. May include cause for demotion, suspension, or dismissal, and the reasons for failure to give written notice of resignation. May also be used to document evidence of employee self-improvement efforts, as well as favorable and unfavorable communication.		AC+5	AC= Termination of employment.
3.1.022	Personnel Information or Action Forms	Forms or similar records used to create or change information concerning the records of an employee, including pay grade, position classification, employee number, evaluation date, and termination of employment.		2	29 CFR 1602.31 [State Agencies]. 29 CFR 1602.49(a) [State Universities].
3.1.023	Position/Job Descriptions	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).

Record Series Item No. (RSIN)	Record Series Title	Record Series Description	Archival	Retention Period	Remarks
3.1.024	Physical Examinations/ Medical Reports	Medical or physical examination reports or certificates of employees for whom periodic monitoring of health or fitness is required.		AC+2	AC= Until superseded or termination of employment. CAUTION: Does not include pre-employment physical examinations. See RSIN 3.1.014. Does not include medical or physical examinations for employees exposed to hazardous materials. See RSIN 5.4.016a/b.
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.
3.1.027	Training and Educational Achievement Records (Individual)	Certificates of completion, certifications, licenses, transcripts, test scores, or similar records documenting the training, testing, certification, licensing, or continuing education achievements of an employee.		AC+5	AC= Termination of employment.
3.1.029	Employment Eligibility Documentation	Federal reporting form (Form I-9).		AC	AC= 3 years after date of hire or 1 year after termination of employment, whichever is later. 8 CFR 274a.2(b)(2)(i)(A) and (c)(2).

Record Series Item No. (RSIN)	Record Series Title	Record Series Description	Archival	Retention Period	Remarks
3.1.034	Resumes – 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.
3.1.036	Apprenticeship Records	Summary of apprenticeship applicant qualifications, evaluation basis for selection or rejection, original applications, job assignments, promotions, separations, layoffs, terminations, compensation records, conditions of work, time records, hours of training provided (separate from labor), minority status, and gender of all selected and rejected applicants.		5	29 CFR 30.8(e).
3.1.037	Employee Recognition Records	Awards, incentives, tenure, etc.		AC+5	AC= Termination of employment.
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.

Record Series Item No. (RSIN)	Record Series Title	Record Series Description	Archival	Retention Period	Remarks
3.1.039	Ombudsman Records	Consultation records, notes, letters, memos, emails, reports, and other documentation.		AC	AC= Final decision or matter closed. CAUTION: Does not include formal complaint filed with EEOC (Equal Employment Opportunity Commission). If matter becomes a grievance or the subject of counseling or litigation, or employee is subject to disciplinary action, the records are subject to retention in the appropriate records series. See RSIN 1.1.048, 3.1.006, 3.1.018, 3.1.020, and 3.1.021.
3.1.040a	Employee Drug Testing and Screening Records – Positive Results and Calibration	Records of employee alcohol test results indicating an alcohol concentration of 0.02 or greater; records of employee verified positive controlled substances test results; documentation of refusals to take required alcohol and/or controlled substances tests; employee evaluation and referrals; calibration documentation; records related to the administration of the alcohol and controlled substances testing programs; copy of each annual calendar year summary.		5	49 CFR 382.403 for commercial motor vehicle drivers.
3.1.040b	Employee Drug Testing and Screening Records – Collection Records	Records related to the alcohol and controlled substances collection process (except calibration of evidential breath testing devices).		2	See RSIN 3.1.040a for calibration documentation.

Record Series Item No. (RSIN)	Record Series Title	Record Series Description	Archival	Retention Period	Remarks
3.1.040c	Employee Drug Testing and Screening Records – Negative Results	Records of negative and canceled controlled substances test results and alcohol test results with a concentration of less than 0.02.		1	
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.
3.1.042	ADA Accommodation Requests	Employee or applicant requests for reasonable accommodation under the ADA (Americans with Disabilities Act).		AC+2	AC= For employees, termination of employment; for job applicants who were not selected, date of application. 29 CFR 1602.31.

Category 3: Personnel Records

Section 3.2 – Payroll

Record Series Item No. (RSIN)	Record Series Title	Record Series Description	Archival	Retention Period	Remarks
3.2.001	Employee Deduction Authorizations	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.
3.2.002	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.		4	40 TAC 815.106(i).
3.2.003	Federal Tax Records	Includes 1099, W2, FICA, 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).
3.2.004	Income Adjustment Authorizations	Used to make increases or decreases to employees' gross pay, FICA, retirement, or in the computation of taxes.		2	29 CFR 516.6(c).
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).

Record Series Item No. (RSIN)	Record Series Title	Record Series Description	Archival	Retention Period	Remarks
3.2.006	Wage Rate Tables	Records defining the wage or salary rate for each position in the agency expressed in dollars, grades, or step numbers.		2	29 CFR 516.6(a)(2).
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.
3.2.008	Direct Deposit Application/ Authorizations	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.
3.2.009	State Deferred Compensation Records	Records documenting the amount of pension or deferred compensation earned by individual employees.		4	

Category 3: Personnel Records

Section 3.3 – Personnel Administration

Record Series Item No. (RSIN)	Record Series Title	Record Series Description	Archival	Retention Period	Remarks
3.3.001a	Affirmative Action Plans – Employees	Affirmative action plans for regular employees.		5	29 CFR 30.12(d).
3.3.001b	Affirmative Action Plans – Apprenticeship Programs	Affirmative action plans for apprenticeship programs.		2	41 CFR 60-1.12(a).
3.3.004	Benefit Plans	Employee benefit plans such as pension; life, health, and disability insurance; deferred compensation; etc., including amendments.		AC+1	AC= Until superseded or plan terminated. 29 CFR 1627.3(b)(2).
3.3.010	Labor Statistics Reports	Reports providing statistical information on labor force.		3	
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 authorization.		AC+75	AC= Termination of employment. See RSIN 3.1.038.
3.3.015	Positions/Job Classification Review File	Records relating to review and monitoring of job classifications within an agency.		US+3	

Record Series Item No. (RSIN)	Record Series Title	Record Series Description	Archival	Retention Period	Remarks
3.3.020	Work Schedules/ Assignments	Work, duty, shift, crew, or case schedules, rosters, or assignments.		AV	
3.3.022	Texas Workforce Commission (TWC) Reports	Reports to the agency from TWC or its predecessor pertaining to employees.		3	
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	
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	
3.3.025	Job Procedure Records	Any documents detailing the procedural duties and responsibilities of agency positions on a position-by-position basis.		US+3	

Record Series Item No. (RSIN)	Record Series Title	Record Series Description	Archival	Retention Period	Remarks
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	
3.3.027	Aptitude and Skills Tests	Aptitude, competency, or skills tests and checklists required of job applicants or of current personnel to qualify for promotion or transfer, including validation records.		AC+2	AC= Until superseded or no longer used by agency. CAUTION: One copy of each different master test (different in terms of either questions or administration procedures) should be retained for the period indicated. 29 CFR 1602.31 [State Agencies]. 29 CFR 1602.49 [State Universities].
3.3.028	Aptitude and Skills Tests (Test Papers)	Completed aptitude, competency, or skills test papers and checklists of job applicants or of current personnel taking a test to qualify for promotion or transfer.		2	29 CFR 1602.31 [State Agencies]. 29 CFR 1602.49 [State Universities].

Record Series Item No. (RSIN)	Record Series Title	Record Series Description	Archival	Retention Period	Remarks
3.3.030	Internal Training Administration Records	Records documenting the planning, development, implementation, administration and evaluation of in-house training programs, including but not limited to training manuals, course registration, class rosters, sign-in sheets, syllabuses, course outlines, and similar training aids used in in-house training programs.		AC+2	AC = Close of training session, after training materials superseded, or termination of training program, as applicable. See RSIN 1.1.043 for external training records. See RSIN 3.1.027 for individual employee training records. CAUTION: Does not include hazardous material training records. See RSIN 5.4.007.
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.
3.3.032	Equal Pay Records	Reports, studies, aggregated or summary data, and similar documentation compiled to monitor and demonstrate compliance with the federal Equal Pay Act.		2	29 CFR 1620.32(c).
3.3.033	Recruitment Plans	Diversity and recruitment plans and related workforce analyses.		3	Texas Labor Code, 21.501 and 502.

Category 3: Personnel Records

Section 3.4 – Time and Leave

Record Series Item No. (RSIN)	Record Series Title	Record Series Description	Archival	Retention Period	Remarks
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 at end of fiscal year, to correct errors on leave accumulation, and to close out leave accounts on separated employees.		FE+3	
3.4.002	Leave Status Reports	Cumulative report is issued each pay cycle and provides employee leave status information for each position.		FE+3	
3.4.004	Overtime Schedules and Authorizations	Records created to schedule time worked by employees outside of or in addition to their regular working hours, including approval authorizations.		2	CAUTION: Only includes overtime schedules and authorizations. See RSIN 3.4.006 for timekeeping records.
3.4.006	Time and Attendance Records	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.		4	40 TAC 815.106(i).

Record Series Item No. (RSIN)	Record Series Title	Record Series Description	Archival	Retention Period	Remarks
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.		FE+3	Government Code, Section 661.152(d); 29 CFR 825.500(b).
3.4.008	Sick Leave Pool Documentation	Records documenting number of hours transferred in and out of comprehensive sick leave pool.		FE+3	

Category 4: Fiscal Records

Section 4.1 – General Accounting Records

Record Series Item No. (RSIN)	Record Series Title	Record Series Description	Archival	Retention Period	Remarks
4.1.001	Accounts Payable Information	Claims; invoices; statements; copies of checks and purchase orders; expenditure authorizations; ledgers; encumbrance, purchase, general journal, expenditure, and special vouchers; and similar records that serve to document disbursements, including those documenting claims for and reimbursement to employees for travel and other expenses.		FE+3	
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.
4.1.009	Accounts Receivable 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.		FE+3	

Section 4.2 – [withdrawn]

Section 4.3 – [withdrawn]

Section 4.4 – [withdrawn]

Category 4: Fiscal Records

Section 4.5 – Fiscal and Financial Reports

Record Series Item No. (RSIN)	Record Series Title	Record Series Description	Archival	Retention Period	Remarks
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.
4.5.003	Annual Financial Reports	Annual Financial Reports (AFR) required by the General Appropriations Act (100 Day Report).		AC+6	AC= September 1 of odd-numbered calendar years. 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. 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.

Record Series Item No. (RSIN)	Record Series Title	Record Series Description	Archival	Retention Period	Remarks
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.
4.5.009	USAS Reports - Annual	Yearly report compiled from information entered into the Uniform Statewide Accounting System (USAS).		FE+3	
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).

Section 4.6 – [withdrawn]

Category 4: Fiscal Records

Section 4.7 – Other Fiscal

Record Series Item No. (RSIN)	Record Series Title	Record Series Description	Archival	Retention Period	Remarks
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	
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 uncollectable.
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	
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.

Record Series Item No. (RSIN)	Record Series Title	Record Series Description	Archival	Retention Period	Remarks
4.7.008	Grant Records	This series documents state, federal, and other sponsored 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. Records in this series may be subject to Government Code 441.1855. Agencies must ensure that records are retained for the appropriate retention period.
4.7.010	Long-Term Liability Records	Records documenting financial obligations of a state agency that are not payable within one year of the date of the balance sheet, including debentures, loans, deferred tax liabilities, bonds, and pension obligations.		AC+3	AC= Retirement of debt.
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.
4.7.013	Federal Tax Information (FTI) Audit Logs	Logs documenting requests and receipt of FTI, including any information created by the recipient that is derived from federal return or return information received from the IRS or obtained through a secondary source.		5	IRS Publication 1075.

Record Series Item No. (RSIN)	Record Series Title	Record Series Description	Archival	Retention Period	Remarks
4.7.014	Indirect Cost Plans	Indirect cost plan and supporting documentation created or maintained in the development of the plan.		AC+3	AC= If submitted for negotiation of rate, date of submission; if not submitted for negotiation, the end of the fiscal year covered by the proposal, plan, or other computation. 2 CFR 200.333(f)(1) and (2).

Category 4: Fiscal Records

Section 4.8 – Banking Records

Record Series Item No. (RSIN)	Record Series Title	Record Series Description	Archival	Retention Period	Remarks
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	

Category 4: Fiscal Records

Section 4.9 – Budgeting

Record Series Item No. (RSIN)	Record Series Title	Record Series Description	Archival	Retention Period	Remarks
4.9.001	Annual Operating Budgets	Required by the General Appropriations Act. Includes encumbrances and documentation about budget transfers and revisions, as well as detail charts of accounts.		FE+3	

Category 5: Support Services Records

Section 5.1 – General

Record Series Item No. (RSIN)	Record Series Title	Record Series Description	Archival	Retention Period	Remarks
5.1.001a	Contract Administration Files – 9/1/2015 and After	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. Executed, renewed, or amended on or after September 1, 2015.		AC+7	AC= Expiration or termination of the instrument according to its terms. See related RSIN 5.3.007a/b/c for bid documentation. See RSIN 5.2.028 for building construction contracts. See RSIN 5.1.017 for contract logs. SB20 (84th Leg.)

Record Series Item No. (RSIN)	Record Series Title	Record Series Description	Archival	Retention Period	Remarks
5.1.001b	Contract Administration Files – 8/31/2015 and Prior	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. 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 RSIN 5.3.007a/b/c for bid documentation. See RSIN 5.2.028 for building construction contracts. See RSIN 5.1.017 for contract logs. SB20 (84th Leg.)
5.1.003	Delivery Reports	Records documenting incoming or outgoing deliveries, including through private courier services.		2	
5.1.004	Mail and Telecommunications Listings	Any mailing address, telephone or fax number, or email address records maintained by an agency on its employees or on entities or persons it serves.		US	
5.1.005	Postage Records	Records and reports of postage expenses, including postal meter usage.		FE+3	

Record Series Item No. (RSIN)	Record Series Title	Record Series Description	Archival	Retention Period	Remarks
5.1.007	Requisitions for In-Agency or Inter-Agency Copy/ Printing Service	Includes word processing and data processing.		AV	
5.1.010	Licenses and Permits for Non-Vehicles	Licenses and permits obtained from external agencies or organizations in order to perform operations.		AC+2	AC= Expiration date of license or permit. CAUTION: Does not include licenses and permits issued by an agency as part of its statutory responsibilities.
5.1.011	Photocopier and Telefax Usage Logs and Reports	Registers or logs of print copies and fax transmissions made by user or in total.		AV	
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	
5.1.013a	Insurance Policies - 9/1/2015 and After	Liability, theft, fire, health, life, automobile, and other policies for government property and personnel including supporting documentation relevant to the implementation, modification, renewal, or replacement of policies. Executed, renewed, or amended on or after September 1, 2015.		AC+7	AC= Expiration or termination of the policy according to its terms. SB20 (84th Leg.)

Record Series Item No. (RSIN)	Record Series Title	Record Series Description	Archival	Retention Period	Remarks
5.1.013b	Insurance Policies – 8/31/2015 and Prior	Liability, theft, fire, health, life, automobile, and other policies for government property and personnel including supporting documentation relevant to the implementation, modification, renewal, or replacement of policies. Executed, renewed, or amended on or before August 31, 2015.		AC+4	AC= Expiration or termination of the policy according to its terms. SB20 (84th Leg.)
5.1.014	Office Procedures	Any internally distributed manual, guidelines, or similar records that establish standard office procedures for an agency, e.g. agency style manuals, telephone protocols, mail room procedures, print shop and photocopy ordering instructions.		US+1	
5.1.015	Correspondence Tracking Records	Any record created by an agency to track any type of incoming and outgoing correspondence or packages by the U.S. Postal Service (USPS) or by private couriers.		1	
5.1.017	Contract Log	List of agency contracts, leases, and agreements, including general obligation, land lease, utilities, and construction contracts.		FE+3	

Record Series Item No. (RSIN)	Record Series Title	Record Series Description	Archival	Retention Period	Remarks
5.1.018	Surveillance Videos	Surveillance videos of buildings, facilities, vehicles, or other state property.		AV	See RSIN 5.4.001 or 5.4.014 if video is needed for an accident investigation or RSIN 1.1.048 if the video is needed as evidence in litigation. The disposal of surveillance videos need not be documented through destruction signoffs (RSIN 1.2.001) or in records disposition logs (RSIN 1.2.010).

Category 5: Support Services Records

Section 5.2 – Facility Management

Record Series Item No. (RSIN)	Record Series Title	Record Series Description	Archival	Retention Period	Remarks
5.2.001	Appraisals – Building or Property	Assessments or evaluations of the value of state-owned buildings or property.	R	AV	
5.2.002	Building Construction Project Files	Project records related to planning, design, construction, conversion, or modernization of state facilities, structures, infrastructure, and systems, including feasibility, screening, and implementation studies; topographical and soil surveys and reports; as-builts; laboratory test reports; environmental impact statements; correspondence; successful and unsuccessful bid documentation and other related documentation.	R	AC+10	AC= Completion of project. 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. ARCHIVES NOTE: Archival review designation is for state-owned buildings only.
5.2.003a	Building Plans and Specifications – State Owned	Includes architectural and engineering drawings, profiles, and blueprints of planning, design, construction, conversion, or modernization of state owed facilities, structures, infrastructure, and systems.	R	LA	See RSIN 5.2.002 and 5.2.028.

Record Series Item No. (RSIN)	Record Series Title	Record Series Description	Archival	Retention Period	Remarks
5.2.003b	Building Plans and Specifications – Leased	Includes architectural and engineering drawings, profiles, and blueprints of planning, design, construction, conversion, or modernization of leased facilities, structures, infrastructure, and systems.		AC+2	AC= Termination or cancellation of lease according to its terms. See RSIN 5.2.002 and 5.2.028.
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	
5.2.005	Calibration Records (Equipment or Instrument)	Records documenting the determination, checking, or rectifying of any instrument giving quantitative measurements.		2	CAUTION: Some equipment and instruments may require longer retention period. State agencies must determine if longer retention period is required based on the type of equipment or instruments they use within their agency.
5.2.006	Inventory and Property Control Records	Records documenting the inventorying, maintenance, usage, 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.
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 5.1.001. For vehicle maintenance records, see RSIN 5.6.003.
5.2.010	Equipment Manuals			LA	

Record Series Item No. (RSIN)	Record Series Title	Record Series Description	Archival	Retention Period	Remarks
5.2.011	Equipment Warranties			AC+1	AC= Expiration of Warranty.
5.2.012	Estimate Files (Supply and Repair Cost Estimates)	Quotes for minor construction and repair projects and supplies. Includes supporting documentation, as applicable.		1	
5.2.016	Inventory System Update Listings	Listing shows all additions, changes, deletions, and transfer times for the monthly processing period.		AC	AC= Transfer of information into annual listing. See RSIN 5.2.006 for annual inventory listing.
5.2.018	Quality Control Reports	Documentation and reporting on adherence to procedures that ensure quality of a process, product, or service.		2	See RSIN 2.2.013 for quality control records related to IT procedures.
5.2.019	Service Orders	Requests or work orders for repairs or maintenance to facilities, vehicles, or equipment completed by internal agency personnel or external service providers.		1	
5.2.022	Utility Usage Reports	Any type of usage report or log used to monitor utilities such as gas, electric, water, etc.		AV	CAUTION: Does not include utility usage reports for agencies that operate their own utilities.
5.2.024	Equipment Descriptions and Material Specifications	Equipment and material descriptions and specifications that may include but are not limited to detailed descriptions; lists of raw materials and ingredients; physical characteristics of items; special handling procedures; or technical drawings.		AC+2	AC= Equipment or material is no longer in the agency.

Record Series Item No. (RSIN)	Record Series Title	Record Series Description	Archival	Retention Period	Remarks
5.2.026	Facilities Reservation Logs	Reservation logs or similar records relating to the use of agency facilities such as meeting rooms, auditoriums, etc.		2	
5.2.027	Space Utilization Reports	Reports summarizing efficiency of facility space utilization, which may include data on room usage, demand, allocation, and capacity.		AV	
5.2.028	Building Construction Contract and Inspection Records	Building construction contracts, surety bonds, and inspection records.	R	LA+10	See also RSIN 5.2.002 and 5.2.003a/b.
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.

Record Series Item No. (RSIN)	Record Series Title	Record Series Description	Archival	Retention Period	Remarks
5.3.003	Freight Claims	Freight or cargo claims against carrier for damage or loss to a shipment.		AC+2	AC= Resolution of claim. 43 TAC 218.61(d); 49 USC 14706(e).
5.3.004	Shipping Information	Shipping information, including order acknowledgements, packing slips, and related documentation.		AV	CAUTION: Some shipping information may require longer retention period. State agencies must determine if longer retention period is required based on the type of materials shipped to or from their agency.
5.3.007a	Bid Documentation – 9/1/2015 and After	Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, awarded and unawarded bids, and bid tabulation /evaluations. 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. SB20 (84th Leg.)
5.3.007b	Bid Documentation – 8/31/2015 and Prior	Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, awarded and unawarded bids, and bid tabulation /evaluations. Associated with a contract executed, renewed, or amended on or before August 31, 2015.		FE+3	SB20 (84th Leg.)

Record Series Item No. (RSIN)	Record Series Title	Record Series Description	Archival	Retention Period	Remarks
5.3.007c	Bid Documentation – Invalid Bids	Invalid 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.
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	
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.
5.3.010	Vendor Records/W-9	W-9 IRS Form used to request a taxpayer identification number (TIN) for reporting information to the Internal Revenue Service (IRS). This includes W-9 forms received by a state agency from vendors.		AC+3	AC= Date account is opened or date instrument purchased. 26 CFR 31.3406(h)-3(g).

Category 5: Support Services Records

Section 5.4 – Risk Management

Record Series Item No. (RSIN)	Record Series Title	Record Series Description	Archival	Retention Period	Remarks
5.4.001	Occupational 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).
5.4.002	Evacuation Plans	Plans for evacuation of agency facilities in cases of emergency.		US	
5.4.003	Inspection Records	Fire, safety, and other inspection records of agency facilities and equipment, including orders issued by inspectors to correct deficiencies in compliance with any code or regulations.		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.

Record Series Item No. (RSIN)	Record Series Title	Record Series Description	Archival	Retention Period	Remarks
5.4.007	Hazardous Materials Training Records	Records of training given to employees in an agency hazard communications program. May include but is not limited to date of class, roster of attendees, subjects covered, and instructors.		5	See RSIN 3.1.027 for individual employee training records. Texas Health and Safety Code, 502.009(g).
5.4.008	Hazard Communication Plans	Plan that provides information to employees about the hazardous chemicals to which they may be exposed to in their workplace.		US+5	Texas Health and Safety Code, 502.009(g).
5.4.009	Workplace Chemical Lists	List of each hazardous chemical normally present in the workplace.		30	Texas Health and Safety Code, 502.005(d).
5.4.010	Safety Data Sheets	Safety Data Sheets (SDS) that list information relating to occupational safety and health for the use of various substances and products.		AC	AC= After sheets are updated or hazardous chemical no longer stored by agency, as applicable. CAUTION: If Workplace Chemical Lists (RSIN 5.4.009) are not maintained, these records must be maintained for 30 years. 29 CFR 1910.1020(d)(1)(ii)(B).
5.4.011	Visitor Control Registers	Logs, registers, or similar records documenting visitors to limited access or restricted areas of agency facilities.		3	
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.

Record Series Item No. (RSIN)	Record Series Title	Record Series Description	Archival	Retention Period	Remarks
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.
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.
5.4.014b	Accident Reports – Minors	Reports of accidents to minors on state property or in any other situation in which the state agency could be a party to a lawsuit.		AC+3	AC= Date minor reaches the age of majority, or if a claim filed, after settlement or denial, whichever applicable.
5.4.015	Hazardous Materials – Administrative Records	This series documents a building by building survey and plan to correct asbestos material hazards. This series may include but is not limited to: surveys; monitoring tests and reports; data forms; building plans; correction checklists; removal job records; and related documentation and correspondence. Environmental, biological, and material safety monitoring reports concerning toxic substances and harmful physical agents in the workplace, including analyses derived from such reports.		AC+30	AC= Date of project completion. See RSIN 5.4.016a/b for hazardous material exposure records. 29 CFR 1910.1001; 29 CFR 1910.1020(d)(ii); 25 TAC 295.62(a).

Record Series Item No. (RSIN)	Record Series Title	Record Series Description	Archival	Retention Period	Remarks
5.4.016a	Hazardous Materials – Employee Exposure Records	Environmental, biological, and material safety monitoring reports, including health or physical examination reports or certificates of employees, who have experienced exposure to toxic substances, harmful physical agent, or bloodborne pathogens in the workplace, including analyses derived from such reports.		AC+30	AC= Termination of employment. 29 CFR 1910.1020(d); 29 CFR 1910.1001; 29 CFR 1910.1020(d)(1)(ii).
5.4.016b	Hazardous Materials – Periodic Monitoring	Environmental, biological, and material safety monitoring reports, including health or physical examination reports or certificates of employees, for whom periodic monitoring of health or fitness is required concerning toxic substances, harmful physical agent, or bloodborne pathogens in the workplace, including analyses derived from such reports.		US+2	29 CFR 1910.1020(d); 29 CFR 1910.1001; 29 CFR 1910.1020(d)(1)(ii).

Record Series Item No. (RSIN)	Record Series Title	Record Series Description	Archival	Retention Period	Remarks
5.4.017	Emergency Response and Recovery Records	This series documents the events and damages to institutional property due to storms, riots, fires, droughts, floods, and other events affecting citizens and facilities within the jurisdiction of the institution. This series may include but is not limited to: diaries; logs; reports; photographs; notes which indicate or document what happened, when, and where; and related documentation and correspondence.	R	3	See RSIN 5.4.013 for Continuity of Operations Plans (COOP). CAUTION: If grant monies are received to assist with the response or recovery, the retention requirements for this series may vary depending on the specific funding agency.
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.
5.4.019	Audit Peer Review – Working Papers	Documents collected or generated as part of the process of reviewing other state agency internal audit programs. Includes but is not limited to: self-assessments, worksheets, surveys or questionnaires, evaluations, and other documents as described in the State Agency Internal Audit Forum (SAIAF) Peer Review Manual.		AC+1	AC= After final report has been issued. See RSIN 1.1.002 for individual Audit records not related to the peer review of an Audit Plan. Government Code, 2102.007(a)(5).

Category 5: Support Services Records

Section 5.5 – Telecommunications

Record Series Item No. (RSIN)	Record Series Title	Record Series Description	Archival	Retention Period	Remarks
5.5.002	Telephone Activity Records	Telephone logs created for internal documentation purposes; station activity reports of internal listings of incoming/outgoing telephone activity to individual telephone stations; operator call transfers; summary detail reports; and system activity reports of internal listings of all incoming/outgoing agency telephone activity.		AV	See RSIN 4.1.001 for telephone bills.
5.5.007	Disputed Call Documentation	Documentation relating to disputed long distance calls, including documents evidencing repayment by employees for personal long distance use.		AC+3	AC= Dispute resolved or repaid + FE.

Category 5: Support Services Records

Section 5.6 – Vehicles

Record Series Item No. (RSIN)	Record Series Title	Record Series Description	Archival	Retention Period	Remarks
5.6.001a	Aircraft Flight Logs – State Owned	Logs and related documentation used to maintain information about state owned aircraft flight data.		LA+3	
5.6.001b	Aircraft Flight Logs – Leased	Logs and related documentation used to maintain information about leased aircraft flight data.		FE+3	
5.6.002	Aircraft Passenger Lists	List of passengers on an aircraft.		FE+3	
5.6.003	Inspection, Repair, and Maintenance Records – Vehicles	Records and documentation related to inspections, repairs, and maintenance for state vehicles.		LA+1	See RSIN 5.2.008 for non-vehicle equipment maintenance records.
5.6.004	License and Driving Record Checks			AC	AC= Until superseded or until termination of employment.
5.6.005	Vehicle Use Reports	Includes mileage, fuel/oil consumption, passengers carried and other related operational information.		FE+3	
5.6.007	Vehicle Titles and Registrations	Vehicle titles, registration information, and owner manuals for state vehicles.		LA	
5.6.009	Parking Permits or Assignments	Records documenting issuance of parking permits and assignments.		US	