



Town of Highland Park, Texas
TOWN COUNCIL STUDY SESSION
AGENDA

8:00 AM
January 20, 2026

4700 Drexel Drive Highland Park, TX 75205
Executive Conference Room, Second Floor

I. CALL TO ORDER

II. PUBLIC COMMENT

This portion of the agenda is the public's opportunity to address the Town Council about any item listed on the agenda, except public hearings. Comments related to public hearings will be heard when the specific hearing begins. Public comments are limited to three (3) minutes per speaker, unless otherwise required by law. Per the Texas Open Meetings Act, the Town Council is not permitted to take action on or discuss any item not listed on the agenda. Items suggested for action may be placed on a future agenda at the Town Council's sole discretion.

III. REPORTS

- A. Review and discuss a presentation from the Preservation Park Cities over the final Register of Historic Homes document.
- B. Review and discuss Capital Improvement Program project status.

IV. FUTURE AGENDA DISCUSSION

- A. Review and discuss an ordinance ordering the General Municipal Election on Saturday, May 2, 2026, for the purpose of electing a Mayor and five Town Council Members and authorizing the Mayor to execute an election services agreement.
- B. Review and discuss the establishment of an all-way stop intersection at Douglas Avenue and Lorraine Avenue.
- C. Review and discuss amending the Retention Policy Resolution and Ordinance.
- D. Review, discuss, and consider the opportunity for a Town Council Member to request an item to be placed on a future Town Council Meeting agenda.

V. CLOSED SESSION

- A. In accordance with the Texas Government Code, Chapter 551, Subchapter D, Section 551.072 – REAL ESTATE – the Town Council will convene into closed session to deliberate the purchase, exchange, lease, or value of real property.
- B. In accordance with the Texas Government Code, Chapter 551, Subchapter D, Section 551.071 – CONSULTATION WITH ATTORNEY – the Town Council will convene in closed session for consultation with and to receive legal advice from the Town Attorney regarding pending or contemplated litigation or settlement offer or regarding a matter in which the duty of the attorney to the governmental body under the Texas Disciplinary Rules of Professional Conduct of the State Bar of Texas clearly conflicts

with this chapter re: (i) DART withdrawal election.

VI. OPEN SESSION

- A. Pursuant to Section 551.102 of the Texas Government Code, the final action, decision, or vote regarding Closed Session Item A. and B. above, shall be made, if any.

VII. ADJOURNMENT

Any item on this posted agenda could be discussed in closed session as long as it is within one of the permitted categories under Sections 551.071 through 551.076 and 551.087 of the Texas Government Code.

A member of the public may address the governing body regarding an item on the agenda either before or during the body's consideration of the item, upon being recognized by the presiding officer or the consent of the body.

SPECIAL ACCOMMODATIONS FOR TOWN COUNCIL MEETINGS: Let us know if you need special assistance of any kind.

Please contact the Town of Highland Park Administrative staff at (214) 521-4161 from 7:30 a.m. - 4:30 p.m., Monday through Friday.



**Town of Highland Park
Town Council Study Session
Tuesday, January 20, 2026**

Item Coversheet

**Review and discuss a presentation from the Preservation Park
Cities over the final Register of Historic Homes document.**

PRESENTED BY:

BACKGROUND:

A presentation will be delivered to the Town Council by Preservation Park Cities members Larry Good and Craig Melde, along with former Highland Park Mayor Joel Williams. The finalized Register of Historic Homes document will be presented at the Study Session.

RECOMMENDATION

This item is only to review and discuss. No recommendations at this time.

FINANCIAL IMPACT

This item has no financial impact at this time.

ATTACHMENTS

None



**Town of Highland Park
Town Council Study Session
Tuesday, January 20, 2026**

Item Coversheet

Review and discuss Capital Improvement Program project status.

PRESENTED BY: Lori Chapin, Director of Engineering

BACKGROUND:

This item is provided as an opportunity to update the Town Council on the current year's Capital Improvements Program ("CIP") projects.

A few of the larger, more complex projects are highlighted below:

Wycliffe Reconstruction
Holland EST
Hackberry Creek Phase I Improvements
Exall Dredging
Alley, Water, Sewer Rehabilitation

An update will be provided for the above projects as well as other roadway, utility, stormwater, parks, and facilities projects programmed for FY 2025-2026.

RECOMMENDATION

This item is provided as an information report with no action proposed for Town Council consideration.

FINANCIAL IMPACT

None.

ATTACHMENTS

None



**Town of Highland Park
Town Council Study Session
Tuesday, January 20, 2026**

Item Coversheet

Review and discuss an ordinance ordering the General Municipal Election on Saturday, May 2, 2026, for the purpose of electing a Mayor and five Town Council Members and authorizing the Mayor to execute an election services agreement.

PRESENTED BY:

BACKGROUND:

On May 2, 2026, the Town will conduct an election to elect a Mayor and five Town Council Members for a term of two years. The Town's elections are held on the May Uniform Election Date in even-numbered years. The Town contracts with the Dallas County Elections Department ("DCED") to administer its election, which is a part of the Dallas County Joint Election. A meeting with representatives of DCED to receive and review the draft election services agreement will be held on January 21, 2026. The final agreement will be submitted to the Town Attorney for review and subsequently executed by the Mayor.

The terms of the election services agreement will include the staffing and equipment required for Early Voting polling locations. DCED implements country-wide Polling Centers for Early Voting and for Election Day; the locations for the May 2nd election will be designated in the Election Services Contract between the Town and DCED. Early Voting will begin on Monday, April 20, and continue through Tuesday, April 28, 2026.

This item will return to the Town Council Meeting scheduled for February 3, 2026, under the Consent Agenda with the draft election services agreement contract attached.

RECOMMENDATION

This item is to review and discuss. Staff recommends approval of the proposed Ordinance at the February 3, 2026, Town Council Meeting.

FINANCIAL IMPACT

The terms of the election services agreement provide for the division of expenses among each participating entity in the Dallas County Joint Election. The contract will include an estimated cost for the election. After the election, DCED will determine the final cost for each participating

entity and refund any overpayment or invoice any amount due. Past experience has shown that DCED will bill an additional amount after the election is concluded. As such, the overall cost of the election for the Town could be as much as \$10,000.00, which will be funded from the Town's general fund operating budget.

ATTACHMENTS

Ord. No. 2161 - Ordering a General Municipal Election 5-2-2026

ORDINANCE NO. 2161

AN ORDINANCE OF THE TOWN OF HIGHLAND PARK, TEXAS (“TOWN”), ORDERING A GENERAL MUNICIPAL ELECTION ON SATURDAY, MAY 2, 2026, FOR THE PURPOSE OF ELECTING A MAYOR AND FIVE TOWN COUNCIL MEMBERS; CREATING A SINGLE ELECTION PRECINCT; AUTHORIZING THE MAYOR TO EXECUTE AN ELECTION SERVICES CONTRACT WITH THE DALLAS COUNTY ELECTIONS DEPARTMENT; FIXING THE TIME AND MANNER OF HOLDING SAID ELECTION; AND PROVIDING AN EFFECTIVE DATE.

WHEREAS, under the provisions of the Town’s Charter, it is necessary that the Town Council call a General Municipal Election for the purpose of electing a Mayor and five (5) Town Council Members; and

WHEREAS, Section 41.001(a) of the Texas Election Code, as amended, provides for a general election of Town Officials to be held on uniform election dates; being the first Saturday in May or the first Tuesday after the first Monday in November; and

WHEREAS, Section 11.0581(a) of the Texas Education Code requires independent school districts (ISDs) to conduct their general election for trustees on the same date as the election for the members of the governing body of a municipality located in the school district, the general election for state and county officers, or the election for the members of the governing body of a hospital district; and

WHEREAS, Section 271 of the Texas Election Code authorizes the elections ordered by the authorities of two or more political subdivisions that are to be held on the same day in all or part of the same county to be held jointly in the election precincts that can be served by common polling places; and

WHEREAS, the Town is authorized by law to adopt the provisions contained herein, and has complied with all the prerequisites necessary for the passage of this ordinance; and

WHEREAS, all statutory and constitutional requirements for the passage of this ordinance have been adhered to, including, but not limited to, the Open Meetings Act; and

WHEREAS, the purpose of this ordinance is to promote the public health, safety, and general welfare of the citizens of the Town of Highland Park;

NOW, THEREFORE, BE IT ORDAINED BY THE TOWN COUNCIL OF THE TOWN OF HIGHLAND PARK, TEXAS;

SECTION 1. That, all matters stated hereinabove are found to be true and correct and are incorporated herein by reference as if copied in their entirety.

SECTION 2. That, a General Municipal Election be and the same is hereby ordered to be held on the first Saturday in May 2026, the same being May 2, 2026, for the purpose of electing at large a Mayor and five (5) Town Council Members for the Town of Highland Park, Texas, for a two-year term as heretofore established by the Town Charter.

SECTION 3. That, said election shall be held in accordance with the Election Code of the State of Texas, the statutes of the State of Texas, and the Charter and ordinances of the Town of Highland Park, Texas, and shall be in conformity with the procedures set forth herein.

SECTION 4. That, the election shall be held jointly with the Highland Park Independent School District, the City of University Park, the Dallas County Park Cities Municipal Utility District, and other Dallas County governmental entities on May 2, 2026, pursuant to Chapter 11 of the Texas Education Code and Chapter 271 of the Texas Election Code. The costs of said election shall be shared by the governmental entities as set forth in the Election Services Contract between the Dallas County Elections Department and the Town, which will be on file in the Town Secretary's office.

SECTION 5. That, a single election precinct is hereby created, which shall consist of the territory located within the corporate limits of the Town of Highland Park, Texas, including all or part of Dallas County precincts 2200, 2201, 2202, and 2203. The official polling centers for voting during Early Voting and on Election Day shall be determined by the Dallas County Elections Department and specified within the Election Services Contract. All resident, qualified voters of the Town of Highland Park, Texas shall be permitted to vote in said election. In addition, the election materials outlined in Section 272 of the Texas Election Code shall be printed in English, Spanish, and Vietnamese for use at polling centers during Early Voting and on Election Day.

SECTION 6. That, the polling centers for said election shall be open from 7:00 a.m. to 7:00 p.m. on Election Day.

SECTION 7. That, Paul Adams, Dallas County Elections Administrator, is hereby appointed the Joint Election Early Voting Clerk for all of the participating political subdivisions in compliance with Section 31.097 of the Texas Election Code. Early Voting-Vote by Mail applications should be mailed to Paul Adams, Joint Election Early Voting Clerk, Dallas County Elections, 1520 Round Table Drive, Dallas, Texas 75247, or by email to evapplications@dallascounty.org.

SECTION 8. That, in compliance with Section 85.001 of the Texas Election Code, early voting by personal appearance shall be conducted at the polling centers determined by the Dallas County Elections Department. Said polling places shall be open from 8:00 a.m. to 5:00 p.m. beginning Monday, April 20, 2026, and continuing through Friday, April 24, 2026; from 7:00 a.m. to 7:00 p.m. on Saturday, April 25, 2026; from 12:00 p.m. to 6:00 p.m. on Sunday, April 26, 2026; from 7:00 a.m. to 7:00 p.m. on Monday, April 27, and Tuesday, April 28, 2026.

SECTION 9. That, the Mayor, Town Secretary, and Town Attorney are authorized to execute the Election Services Contract with Dallas County, and any amendments thereto, on behalf of the Town. The Town Secretary is authorized to prepare a Notice of Election as prescribed by the Texas Election Code, to be posted not later than April 11, 2026, and published in accordance with the

provisions of the Code and the Town Charter one time, no earlier than April 2, and no later than April 22, 2026.

SECTION 10. That, this ordinance shall take effect immediately from and after its passage, as the law and the Charter in such cases provide.

PASSED AND APPROVED by the Town Council of the Town of Highland Park, Texas, on this 3rd day of February 2026.

APPROVED AS TO FORM:

APPROVED:

Susan Thomas
Town Attorney

Will C. Beecherl
Mayor

ATTEST:

Joanna Mekeal
Town Secretary



**Town of Highland Park
Town Council Study Session
Tuesday, January 20, 2026**

Item Coversheet

**Review and discuss the establishment of an all-way stop intersection
at Douglas Avenue and Lorraine Avenue.**

PRESENTED BY: Lori Chapin, Director of Engineering

BACKGROUND:

The purpose of this item is to obtain Town Council direction to establish an all-way stop intersection at Douglas Avenue and Lorraine Avenue (refer to attached map).

Lorraine Avenue provides a stop sign for both east and west-bound traffic at its intersection with Douglas Avenue. The Town has received several requests to evaluate this intersection for the installation of an all-way stop. Residents’ concerns focused on site distance, visibility, and the number of vehicles.

Staff contracted with Kimley-Horn Associates, Inc. to obtain traffic counts and vehicular speed in November 2025. The following summarizes the data:

Douglas Avenue (Armstrong Parkway to Beverly Drive)			
Traffic Study	11/18/2025	11/19/2025	11/20/2025
Northbound	2093	2088	1901
Southbound	2060	2180	1823
Total Traffic Daily	4153	4268	3724
Douglas Avenue/Lorraine Avenue			
Under 30 MPH	68%	57%	72%
Under 35 MPH	95%	92%	96%
Over 35 MPH	5%	8%	4%
85th Percentile Speed			
	11/18/2025	11/19/2025	11/20/2025
Northbound	32mph	35mph	33mph
Southbound	31mph	33mph	31mph

The traffic volumes shown are relatively high, and the speed for the 85th percentile is higher on average when compared with other collector-type roadways (i.e., Lomo Alto Drive). While an

all-way stop is not warranted based on these criteria, due to mature trees in the parkway and the ability to park on Douglas Avenue, site distance is impacted when attempting to turn onto Douglas Avenue from Lorraine Avenue. The curbs are painted to encourage motorists from parking too close to the intersection, and adding an all-way stop would help aid in site distance concerns. There are currently stop signs located at Armstrong Parkway, Beverly Drive, and Livingston Avenue. The Lorraine Avenue intersection with Douglas Avenue is situated approximately midway between Armstrong Parkway to the south and Beverly Drive to the north, making this intersection an ideal candidate for an all-way stop.

Staff recommend installing an all-way stop at Douglas Avenue and Lorraine Avenue for the following reasons:

- Site distance concerns due to mature trees and street parking
- Lorraine Avenue is approximately midway between Armstrong Parkway and Beverly Drive along Douglas Avenue
- Provides additional traffic-calming
- Potential for speeding, as Douglas Avenue is a wider roadway

RECOMMENDATION

Although no action is required, Town staff are seeking Town Council direction on whether to proceed with an ordinance for an all-way stop at the Douglas Avenue and Lorraine Avenue intersection.

FINANCIAL IMPACT

Nominal cost associated with the purchase and installation of signs and striping.

ATTACHMENTS

Douglas Avenue-Lorraine Avenue Map, Ordinance - Douglas-Lorraine Stop - DRAFT

LEGEND



EXISTING ALL-WAY STOP INTERSECTIONS



RECOMMENDED ALL-WAY STOP INTERSECTIONS

LIVINGSTON AVE

EDMONDSON AVE

FAIRFAX AVE

BEVERLY DR

N VERSAILLES AVE

S VERSAILLES AVE

BELCLAIRE AVE

LORRAINE AVE

ARCADY AVE

BORDEAUX AVE

BELFORT PL

RHEIMS PL

WESTWAY AVE

FAIRWAY AVE

BOWSER AVE

DALLAS NORTH TOLLWAY

ROLAND AVE

LOMO ALTO DR

ARMSTRONG PKWY

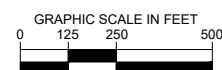
DOUGLAS AVE

PRESTON RD



CITY OF DALLAS

DOUGLAS AVENUE FROM ARMSTRONG PARKWAY TO BEVERLY DRIVE



THE TOWN OF HIGHLAND PARK



Kimley & Horn
TBPE FIRM NO. 928



ORDINANCE NO. 2162

AN ORDINANCE OF THE TOWN OF HIGHLAND PARK, TEXAS AMENDING THE CODE OF ORDINANCES OF THE TOWN OF HIGHLAND PARK, **CHAPTER 12, TRAFFIC AND VEHICLES, ARTICLE 12.04 OPERATION OF VEHICLES GENERALLY, SECTION 12.04.006 STOP INTERSECTIONS**; PROVIDING A SEVERABILITY CLAUSE; AND PROVIDING AN EFFECTIVE DATE.

WHEREAS, the Town of Highland Park, Texas (the “Town”), is a Home Rule municipality having full powers of self-government and may enact ordinances relative to its citizens’ health, safety, and welfare that are not inconsistent with the Constitution and laws of the State; and

WHEREAS, Section 311.001 of the Texas Transportation Code provides that a home-rule municipality has exclusive control over and under the public highways, streets, and alleys of the municipality; and

WHEREAS, the Texas Transportation Code, Section 542.202(a)(8) Powers of Local Authorities, grants the Town the authority to designate an intersection as a stop intersection and requiring each vehicle to stop at one or more entrances to the intersection; and

WHEREAS, the failure of a motorist to stop at a stop intersection is proscribed by the Texas Transportation Code; and

WHEREAS, the Town desires to implement those rules and regulations that protect health, life, and property and that preserve good government, order, and security of the Town and its inhabitants; and

WHEREAS, the Town has determined that it is a necessity to regulate activities as provided for herein to safeguard the public; and

WHEREAS, the Town is authorized by law to adopt the provisions contained herein, and has complied with all the prerequisites necessary for the passage of this ordinance; and

WHEREAS, all statutory and constitutional requirements for the passage of this ordinance have been adhered to, including but not limited to the Open Meetings Act; and

WHEREAS, the purpose of this ordinance is to promote the public health, safety, and general welfare of the citizens of the Town of Highland Park.

NOW, THEREFORE, BE IT ORDAINED by the Town Council of the Town of Highland Park, Texas:

SECTION 1. That, the statements contained in the preamble to this ordinance are hereby adopted as findings of fact and as a part of the operative provisions hereof.



**Town of Highland Park
Town Council Study Session
Tuesday, January 20, 2026**

Item Coversheet

Review and discuss amending the Retention Policy Resolution and Ordinance.

PRESENTED BY:

BACKGROUND:

The Texas Local Government Records Act of 1989 (Title 6, Subtitle C, Local Government Code) requires each local government to designate a Records Management Officer and to establish a records management program by ordinance, order, or resolution, as appropriate. The ordinance or order must provide methods and procedures to enable the governing body, custodians, and the records management officer to fulfill the duties and responsibilities set out in Sections 203.021, 203.022, and 203.023 concerning the management and preservation of records.

In compliance with the Texas Local Government Records Act of 1989, the Town previously adopted Ordinance No. 1191 and Resolution No. 014-90, which are attached to this agenda item for reference.

The purpose of the Town's Records Management Program is to:

1. Reduce the volume of inactive records maintained by Town departments;
2. Ensure the efficient retrieval and use of records;
3. Authorize the timely disposition of records that have met retention requirements and are approved for destruction;
4. Safeguard the security and integrity of Town records;
5. Establish policies governing access to confidential records; and
6. Identify, protect, and preserve vital records.

Updates to the existing records management framework are necessary to align with current best practices and state guidance.

These updates include:

1. Attaching the Records Management Program to a Resolution rather than an Ordinance to allow for more efficient future amendments;
2. Designating the Town Secretary as the Records Management Officer in place of the Town Administrator; and
3. Revising the Ordinance to incorporate recommended language from the Texas State Library and Archives Commission.

This item will return to the Town Council Meeting scheduled for February 3, 2026, under the

Consent Agenda.

RECOMMENDATION

This item is to review and discuss. Staff recommends approval of the proposed Resolution and Ordinance at the February 3, 2026, Town Council Meeting.

FINANCIAL IMPACT

This item has no financial impact.

ATTACHMENTS

Res. No. 015-90, Proposed Res. No. 003.26 Record Retention Program Final, Retention Schedule, Ord. No. 1191-Establishing A Records Management Program, Proposed Ord. No. 2163 Records Retention Program (Redline), Proposed Ord. No. 2163 Records Retention Program (Clean)

RESOLUTION NO. 015-90

A RESOLUTION OF THE TOWN COUNCIL OF THE TOWN OF HIGHLAND PARK, TEXAS, DESIGNATING A RECORDS MANAGEMENT OFFICER IN ACCORDANCE WITH THE TEXAS LOCAL GOVERNMENTS RECORDS ACT (HB-1285).

WHEREAS, the Texas Local Government Records Act (HB-1285) was passed by the legislature and signed into law by the Governor on June 16, 1989, and

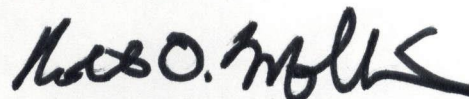
WHEREAS, the Texas Local Government Records Act had an effective date of September 1, 1989, and

WHEREAS, the Act establishes a requirement that each local government designate a Records Management Officer (RMO) by June 1, 1990.

NOW, THEREFORE, BE IT RESOLVED that the Town Council of the Town of Highland Park, Texas, hereby designates the Town Administrator of the Town of Highland Park as the Town's Records Management Officer.

PASSED AND APPROVED by the Highland Park Town Council on this 21st day of May, A.D. 1990.

APPROVED:



Robert O. Mullins
Mayor

ATTEST:



James Fisher
Town Secretary

RESOLUTION NO. 003-26

A RESOLUTION OF THE TOWN OF HIGHLAND PARK, TEXAS, ADOPTING A RECORDS MANAGEMENT PROGRAM FOR THE TOWN OF HIGHLAND PARK.

WHEREAS, the Texas Local Government Records Act (Title 6, Subtitle C, Texas Local Government Code) requires all cities to establish and implement a Records Management Program; and

WHEREAS, the Act establishes a requirement that each local government designate a Records Management Officer; and

WHEREAS, the Town of Highland Park's Records Management Program is governed by Chapter 1, Article 1.08 of the Code of Ordinances, which designates the Office of the Town Secretary as the Records Management Officer for the Town and requires the Records Management Officer to develop the policies and procedures for the Records Management Program; and

WHEREAS, the Town Secretary has developed, and the Highland Park Town Council desires to adopt, the required policies and procedures for the Records Management Program.

NOW THEREFORE BE IT RESOLVED BY THE TOWN COUNCIL FOR THE TOWN OF HIGHLAND PARK, TEXAS THAT:

SECTION 1. The Town of Highland Park Records Management Program attached hereto as "Exhibit A" is hereby adopted as the records management program of the Town of Highland Park, effective February 3, 2026.

PASSED AND APPROVED on this 3rd day of February 2026.

APPROVED AS TO FORM:

APPROVED:

Susan Thomas
Town Attorney

Will C. Beecherl
Mayor

ATTEST:

Joanna Mekeal
Town Secretary

Exhibit A



The Town of Highland Park Records Management Program

The Texas Local Government Records Act, effective September 1, 1989, requires all cities to establish and implement a Records Management Program.

The Town of Highland Park's ("Town") Records Management Program ("Program") operates under Chapter 1, Article 1.08 of the Town's Code of Ordinances. This provision designates the Office of the Town Secretary as the Town's Records Management Officer ("RMO"). The Town follows the records control schedules issued by the Texas State Library and Archives Commission.

The purpose of a Records Management Program is to:

- Reduce the volume of inactive records maintained by Town departments;
- Establish and maintain efficient systems for the creation, maintenance, and retrieval of records;
- Ensure the timely disposition of records that have met retention requirements and are approved for destruction;
- Safeguard Town records to ensure their security and integrity;
- Maintain policies governing access to confidential and sensitive records;
- Identify, preserve, and protect vital records; and
- Promote awareness of and compliance with an effective records management program.

The Program shall be used as a tool to assist each department in maintaining records as outlined in the Town's Program.

Each department shall maintain its own records and work closely with the Town Secretary's Office to ensure consistency in procedures and uniformity in the supplies used in the Program.

The Town Secretary, as the RMO, has administrative authority over the records Program, and each Department Director is responsible for the records within their department.

The Town's records retention schedules, and any updates, will be supplied by the Town Secretary's Office. The Town will follow the **Texas State Library and Archives Commission Retention Schedule for Records Common to All Local Governments**. These schedules will enable each department to meet its record destruction and storage needs.

Definitions

Records Management Officer: The Town Secretary, as required in Chapter 1, Article 1.08 of the Town of Highland Park's Code of Ordinances.

Records Custodian: A representative from each department who will coordinate with the Records Management Officer on the records to be maintained in their department.

Local Government Record: Any document, paper, letter, book, map photography, sound or video recording, microfilm, magnetic tape, electronic medium, or other information-recording media, regardless of physical form, or characteristic and regardless of whether public access to it is open or restricted under the laws of the state, created or received by a local government or any of its officers or employees pursuant to law, including an ordinance, or in the transaction of public business.

Active use records: Records that are held by each department and shall be stored in areas that are easily accessible for day-to-day operations.

Semi-active records: Records that are needed or referred to less frequently, for example, only once a month, but must be retained according to legal minimum retention requirements. Once a record has served its purpose for the operation of the office, the record is ready for final disposition. Some records may be destroyed AFTER meeting the authorized minimum retention, and other records must be retained indefinitely (as permanent documents) when they have historical value, or archival value.

Vital records: Vital records are those that are essential to resume business or continue an organization, to recreate an agency's financial or legal position, or to preserve the rights of employees and citizens. Records series commonly regarded as vital have been so designated. These designations are made by the records management officer in each agency. Records series unique to the agency may be considered vital records, even if not so considered by another agency.

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

Non-records: Records that are unofficial and kept only for convenience or reference, stocks of publications and processed documents, and library material intended solely for reference or exhibition. Non-records do not furnish information on organization, function, policy, procedure, operation or other activities and are retained in addition to the official copy. Some examples include: duplicate copies of memos and letter, obsolete blank forms; surplus copies of publications;

circulars or bulletins; notes used as reminders; telephone messages; convenience files (working papers). Copies of records that are classified as “timely” may be disposed of when superseded by a new version or voided because they have outlived their usefulness

Duties of Records Management Officer (“RMO”)

The RMO shall:

- Assist in establishing and developing policies and procedures for the Records Management Program (“Program”) for the Town of Highland Park (“Town”);
- Administer the Program and provide assistance to custodians for the purposes of reducing the costs and improving the efficiency of recordkeeping;
- In cooperation with the custodians of the records, prepare the records control schedules and amended schedules required by Texas Local Government Code 203.041, and the list of obsolete records as provided by Texas Local Government Code 203.044.
- In cooperation with custodians, identify and take adequate steps to preserve local government records that are of permanent value;
- In cooperation with custodians, identify and take adequate steps to protect essential local government records;
- In cooperation with custodians, ensure that the maintenance, preservation, microfiling, destruction, or other disposition of records is carried out in accordance with the policies and procedures of the Town’s Program and the requirements of this subtitle and rules adopted under it;
- Disseminate to the Town’s and custodians information concerning state laws, administrative rules, and the policies of the government relating to local government records; and
- In cooperation with custodians, establish procedures to ensure that the handling of records in any context of the Program by the RMO or those under the officer’s authority is carried out with due regard for:
 - The duties and responsibilities of custodians that may be imposed by law; and
 - The confidentiality of information in records to which access is restricted by law.

Duties of Records Custodian (“RC”)

Each Director shall designate a Records Custodian (“RC”) for their department who will coordinate with the RMO on the records to be maintained within their department. The RC will coordinate and implement the Program's policies and procedures and disseminate information to their department heads and employees.

The RMO will meet, assist, and supervise the initial departmental inventory of records, and support the RCs in establishing and maintaining filing systems, standards, and procedures for proper recordkeeping.

Disposition of Records

In accordance with the Program, the following procedures shall be followed when purging files or destroying records of any kind:

- Departments may purge their files of the non-records WITHOUT consulting with the RMO.
- Records Custodians must check retention schedules PRIOR TO destroying any other records.
 - If the records to be destroyed are scheduled records, the Records Custodian must complete a *Record Retention Disposal Form* and forward it to the RMO.

Public Information

Most records maintained by the Town are open to public inspection and may be subject to the Texas Public Information Act. Local government records are defined by the Act as information “collected, assembled, or maintained...by a governmental body” or for such a body if it “owns...or has a right of access to” the information.

To obtain access to or a copy of a local government record, a written request must be made to the Office of the Town Secretary. It can be made via a printed or handwritten letter, fax, or email. The request must provide sufficient information identifying what record(s) are being sought, and as much information as is needed to locate the record(s). Employees may not ask the requester what purpose they are seeking the record for.

If the requested information is not available due to the destruction of the record, the Town Secretary’s Office must be able to provide evidence of its destruction. Therefore, the Town Secretary’s Office will maintain the original *Record Retention Disposal Form* for the purpose of responding to requests for information that fall under the Texas Public Information Act.

Texas State Records Retention Schedule

5th Edition, 2nd Revision.

Texas Administrative Code, Title 13, Chapter 6, Section 6.10(a)

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

TABLE OF CONTENTS

INTRODUCTION	vi
SUMMARY OF IMPORTANT POINTS	vii
EXPLANATION OF FIELDS	viii
EXPLANATION OF CODES	ix
EXPLANATION OF TERMS	xi
AMENDMENT NOTICE	xiii
Category 1: Administrative Records	1
Section 1.1 – General	1
Section 1.2 – Records Management	22
Category 2: Information Technology Records	27
Section 2.1 – Automated Applications.....	27
Section 2.2 – Computer Operations and Technical Support.....	30
Category 3: Personnel Records	33
Section 3.1 – Employee.....	33
Section 3.2 – Payroll.....	42
Section 3.3 – Personnel Administration.....	44
Section 3.4 – Time and Leave	48
Category 4: Fiscal Records	50
Section 4.1 – General Accounting Records.....	50
Section 4.2 – [withdrawn].....	51

Section 4.3 – [withdrawn].....	51
Section 4.4 – [withdrawn].....	51
Section 4.5 – Fiscal and Financial Reports	52
Section 4.6 – [withdrawn].....	54
Section 4.7 – Other Fiscal.....	55
Section 4.8 – Banking Records	58
Section 4.9 – Budgeting	59
Category 5: Support Services Records	60
Section 5.1 – General	60
Section 5.2 – Facility Management.....	65
Section 5.3 – Purchasing	70
Section 5.4 – Risk Management.....	73
Section 5.5 – Telecommunications	79
Section 5.6 – Vehicles	80

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 May 10, 2020.

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 records 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

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
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 <u>5.4.018</u> and <u>5.4.019</u> 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.	

Retention Codes – See page ii for caution statement.
AC – See event trigger for specific records series definition
AV – Administratively valuable
CE – Calendar year end

FE – Fiscal year end
LA – Life of asset
PM – Permanent
US – Until superseded

Archival Codes – See page ix.
A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
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 later. CAUTION: If a complaint becomes the subject of litigation, it must be included in and is subject to the minimum retention period of RSIN <u>1.1.048</u> .	

Retention Codes – See page ii for caution statement.
AC – See event trigger for specific records series definition
AV – Administratively valuable
CE – Calendar year end

FE – Fiscal year end
LA – Life of asset
PM – Permanent
US – Until superseded

Archival Codes – See page ix.
A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
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.	4	R	<p>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.</p> <p>CAUTION: This records series and RSIN <u>1.1.008</u> 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 <u>1.1.004</u>; a letter concerning an audit for that prescribed by RSIN <u>1.1.002</u>, etc. See also RSIN <u>1.1.011</u>.</p>	

Retention Codes – See page ii for caution statement.
AC – See event trigger for specific records series definition
AV – Administratively valuable
CE – Calendar year end

FE – Fiscal year end
LA – Life of asset
PM – Permanent
US – Until superseded

Archival Codes – See page ix.
A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
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 <u>1.1.007</u> . See also RSIN <u>1.1.010</u> .	
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.	US+3	A		

Retention Codes – See page ii for caution statement.
AC – See event trigger for specific records series definition
AV – Administratively valuable
CE – Calendar year end

FE – Fiscal year end
LA – Life of asset
PM – Permanent
US – Until superseded

Archival Codes – See page ix.
A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
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.	CE+1	R	<p>ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, agency heads, and board or commission members require archival review. Contact the State Archives when these records have met their retention periods.</p> <p>CAUTION: A record of this type purchased with personal funds but used by a state official or employee to document his or her work activities may be a state record and subject to this retention period. See Open Records Decision 635 issued in December 1995 by the Attorney General.</p>	

Retention Codes – See page ii for caution statement.
AC – See event trigger for specific records series definition
AV – Administratively valuable
CE – Calendar year end

FE – Fiscal year end
LA – Life of asset
PM – Permanent
US – Until superseded

Archival Codes – See page ix.
A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
1.1.014	Legal Opinions and Advice	From agency legal counsel or the Attorney General, including any requests eliciting the opinions.	AV	R	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.	2	R		

Retention Codes – See page ii for caution statement.
AC – See event trigger for specific records series definition
AV – Administratively valuable
CE – Calendar year end

FE – Fiscal year end
LA – Life of asset
PM – Permanent
US – Until superseded

Archival Codes – See page ix.
A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
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.	
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.	US	A	ARCHIVES NOTE: Only charts showing the overall arrangement and administrative structure of the state agency need to be transferred to the Archives and Information Services Division, Texas State Library and Archives Commission. Organizational charts showing division/department level detail are not considered archival.	

Retention Codes – See page ii for caution statement.
AC – See event trigger for specific records series definition
AV – Administratively valuable
CE – Calendar year end

FE – Fiscal year end
LA – Life of asset
PM – Permanent
US – Until superseded

Archival Codes – See page ix.
A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
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.	AC+3	R	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	Surveys and Questionnaires	Surveys soliciting feedback from customers, clients, or stakeholders 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 <u>1.1.067</u> for summary reports compiled from customer surveys.	

Retention Codes – See page ii for caution statement.
AC – See event trigger for specific records series definition
AV – Administratively valuable
CE – Calendar year end

FE – Fiscal year end
LA – Life of asset
PM – Permanent
US – Until superseded

Archival Codes – See page ix.
A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
1.1.040	Speeches, Papers, and Presentations	Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC+2	R	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 <u>3.3.030</u> for internal personnel training materials. CAUTION: Does not include hazardous material training records. See RSIN <u>5.4.007</u> .	

Retention Codes – See page ii for caution statement.
AC – See event trigger for specific records series definition
AV – Administratively valuable
CE – Calendar year end

FE – Fiscal year end
LA – Life of asset
PM – Permanent
US – Until superseded

Archival Codes – See page ix.
A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
1.1.048	Litigation Files	Records created by or on behalf of an agency in anticipation of or in the adjudication of a lawsuit.	AC+1	R	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.	
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.	

Retention Codes – See page ii for caution statement.
AC – See event trigger for specific records series definition
AV – Administratively valuable
CE – Calendar year end

FE – Fiscal year end
LA – Life of asset
PM – Permanent
US – Until superseded

Archival Codes – See page ix.
A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
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).

Retention Codes – See page ii for caution statement.
AC – See event trigger for specific records series definition
AV – Administratively valuable
CE – Calendar year end

FE – Fiscal year end
LA – Life of asset
PM – Permanent
US – Until superseded

Archival Codes – See page ix.
A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
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		<p>AC = Purpose of record has been fulfilled.</p> <p>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.</p> <p>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).</p>	

Retention Codes – See page ii for caution statement.
AC – See event trigger for specific records series definition
AV – Administratively valuable
CE – Calendar year end

FE – Fiscal year end
LA – Life of asset
PM – Permanent
US – Until superseded

Archival Codes – See page ix.
A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
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.	PM	A	<p>ARCHIVES NOTE: Agency retains permanent record copy. The archival requirement (see Texas Government Code, Section 324.008(d)) will be met by sending a copy to the Archives and Information Services Division, Texas State Library and Archives Commission.</p> <p>CAUTION: This records series and RSIN <u>1.1.059</u>, <u>1.1.060</u>, <u>1.1.061</u>, and <u>1.1.062</u> 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.</p>	
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		<p>AC = The date of the meeting or completion of pending action involving the meeting, whichever later.</p> <p>See caution comment at RSIN <u>1.1.058</u>.</p>	Government Code, 551.104(a).

Retention Codes – See page ii for caution statement.
AC – See event trigger for specific records series definition
AV – Administratively valuable
CE – Calendar year end

FE – Fiscal year end
LA – Life of asset
PM – Permanent
US – Until superseded

Archival Codes – See page ix.
A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
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 <u>1.1.058</u> . See also caution comment at RSIN <u>1.1.058</u> .	
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 <u>1.1.058</u> .	
1.1.062	Meetings – Supporting Documentation	Documents submitted at meetings of state boards, commissions, committees, and councils, including exhibit items, documentation for agenda items, public comment forms, etc. Includes documents sent in advance of meetings for briefing purposes, some of which may not be submitted at an actual meeting.	2	A	See caution comment at RSIN <u>1.1.058</u> .	

Retention Codes – See page ii for caution statement.
AC – See event trigger for specific records series definition
AV – Administratively valuable
CE – Calendar year end

FE – Fiscal year end
LA – Life of asset
PM – Permanent
US – Until superseded

Archival Codes – See page ix.
A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
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 <u>1.1.068</u> 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 <u>1.1.067</u> 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 <u>1.1.064</u> .	

Retention Codes – See page ii for caution statement.
AC – See event trigger for specific records series definition
AV – Administratively valuable
CE – Calendar year end

FE – Fiscal year end
LA – Life of asset
PM – Permanent
US – Until superseded

Archival Codes – See page ix.
A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
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.	
1.1.067	Reports and Studies (Non-Fiscal)	Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3	R	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.	

Retention Codes – See page ii for caution statement.
AC – See event trigger for specific records series definition
AV – Administratively valuable
CE – Calendar year end

FE – Fiscal year end
LA – Life of asset
PM – Permanent
US – Until superseded

Archival Codes – See page ix.
A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
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 <u>1.1.064</u> 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 <u>1.1.064</u> .	
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.	AC+3	R	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.	

Retention Codes – See page ii for caution statement.
AC – See event trigger for specific records series definition
AV – Administratively valuable
CE – Calendar year end

FE – Fiscal year end
LA – Life of asset
PM – Permanent
US – Until superseded

Archival Codes – See page ix.
A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
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.	AC+3	R	<p>AC = Last action.</p> <p>ARCHIVES NOTE: Only records that lead to substantial or statutory changes to the operations of the agency and its policies and procedures should be retained for archival review. Contact the State Archives when these records have met their retention periods.</p> <p>CAUTION: These records may be maintained with related information, including meeting notices, proofs of publication, and meeting minutes, and require a longer retention period.</p>	

Retention Codes – See page ii for caution statement.
AC – See event trigger for specific records series definition
AV – Administratively valuable
CE – Calendar year end

FE – Fiscal year end
LA – Life of asset
PM – Permanent
US – Until superseded

Archival Codes – See page ix.
A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
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.	AC+3	R	AC = After the subsequent Sunset Review. ARCHIVES NOTE: Related documentation includes the agency response to the commission's draft report, and documentation of the agency's implementation of the commission's final recommendations. The final version of the agency self-evaluation report must be submitted to the Texas State Publications Depository Program per 13 TAC 3.3(a)(1).	
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 <u>1.1.048</u> .	

Retention Codes – See page ii for caution statement. AC – See event trigger for specific records series definition AV – Administratively valuable CE – Calendar year end	FE – Fiscal year end LA – Life of asset PM – Permanent US – Until superseded	Archival Codes – See page ix. A/I – Transfer to State/University Archivist R/O – Review by State/University Archivist
--	---	--

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
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		<p>AC = Date records released.</p> <p>See RSIN <u>1.1.020</u> for records released under the Public Information Act. See RSIN <u>1.1.076</u> for records produced for a subpoena. See RSIN <u>1.1.048</u> for records produced for litigation.</p> <p>CAUTION: Some records releases may require a longer retention period. Agencies must determine if a 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.</p>	
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		<p>AC = Date of cessation of activity for which the waiver was signed.</p> <p>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 <u>5.4.001</u> and <u>5.4.014a/b</u>.</p>	

Retention Codes – See page ii for caution statement.
AC – See event trigger for specific records series definition
AV – Administratively valuable
CE – Calendar year end

FE – Fiscal year end
LA – Life of asset
PM – Permanent
US – Until superseded

Archival Codes – See page ix.
A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
1.1.079	Copyright Records	Copyright records which pertain to employees' original work. May include but not limited to a copy of the work itself as submitted to the United States Copyright Office and the corresponding copyright application, registration notice, and supplementary documents.	AC	R	AC = Expiration of copyright.	17 USC 302.

Retention Codes – See page ii for caution statement.
AC – See event trigger for specific records series definition
AV – Administratively valuable
CE – Calendar year end

FE – Fiscal year end
LA – Life of asset
PM – Permanent
US – Until superseded

Archival Codes – See page ix.
A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist

Category 1: Administrative Records

Section 1.2 – Records Management

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
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 <u>1.2.010</u> (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.	

<p>Retention Codes – See page ii for caution statement. AC – See event trigger for specific records series definition AV – Administratively valuable CE – Calendar year end</p>	<p>FE – Fiscal year end LA – Life of asset PM – Permanent US – Until superseded</p>	<p>Archival Codes – See page ix. A/I – Transfer to State/University Archivist R/O – Review by State/University Archivist</p>
---	--	---

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
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.	
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.	
1.2.012	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			

Retention Codes – See page ii for caution statement.
AC – See event trigger for specific records series definition
AV – Administratively valuable
CE – Calendar year end

FE – Fiscal year end
LA – Life of asset
PM – Permanent
US – Until superseded

Archival Codes – See page ix.
A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
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			
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.	

Retention Codes – See page ii for caution statement.
AC – See event trigger for specific records series definition
AV – Administratively valuable
CE – Calendar year end

FE – Fiscal year end
LA – Life of asset
PM – Permanent
US – Until superseded

Archival Codes – See page ix.
A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist

Category 1: Administrative Records

Section 1.3 – State Publications

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
1.3.001	State Publications	One copy of each state publication as defined on <u>page xi</u> of this schedule, except a publication that is subject to a different retention period in this schedule. For example, a meeting agenda (see RSIN <u>1.1.058</u>) also meets the definition, but it must be retained permanently; RSIN <u>1.1.004</u> , <u>1.1.055</u> , <u>1.1.066</u> , <u>1.1.068</u> , and <u>4.5.003</u> , which also meet the definition, are closely associated with the appropriations process and must be retained AC + 6.	AC+2		<p>AC = Until superseded or obsolete.</p> <p>CAUTION: Many state publications must be submitted to the Texas State Publications Depository Program, TSLAC, 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.</p> <p>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).</p>	

<p>Retention Codes – See page ii for caution statement. AC – See event trigger for specific records series definition AV – Administratively valuable CE – Calendar year end</p>	<p>FE – Fiscal year end LA – Life of asset PM – Permanent US – Until superseded</p>	<p>Archival Codes – See page ix. A/I – Transfer to State/University Archivist R/O – Review by State/University Archivist</p>
---	--	---

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
1.3.002	Publication Development Files	Physical and digital development and design files used to create State Publications, including but not limited to background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV	R	See RSIN <u>1.3.001</u> 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.	

Retention Codes – See page ii for caution statement.
AC – See event trigger for specific records series definition
AV – Administratively valuable
CE – Calendar year end

FE – Fiscal year end
LA – Life of asset
PM – Permanent
US – Until superseded

Archival Codes – See page ix.
A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist

Category 2: Information Technology Records

Section 2.1 – Automated Applications

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
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.	

Retention Codes – See page ii for caution statement.
 AC – See event trigger for specific records series definition
 AV – Administratively valuable
 CE – Calendar year end

FE – Fiscal year end
 LA – Life of asset
 PM – Permanent
 US – Until superseded

Archival Codes – See page ix.
 A/I – Transfer to State/University Archivist
 R/O – Review by State/University Archivist

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
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.
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: Hardware needed for access to electronic records must be retained for the period of time required to access the records.	13 TAC 6.94.

Retention Codes – See page ii for caution statement.
AC – See event trigger for specific records series definition
AV – Administratively valuable
CE – Calendar year end

FE – Fiscal year end
LA – Life of asset
PM – Permanent
US – Until superseded

Archival Codes – See page ix.
A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
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: Hardware and software needed for access to electronic records must be retained for the period of time required to access the records.	13 TAC 6.94.
2.1.010	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.	

Retention Codes – See page ii for caution statement.
AC – See event trigger for specific records series definition
AV – Administratively valuable
CE – Calendar year end

FE – Fiscal year end
LA – Life of asset
PM – Permanent
US – Until superseded

Archival Codes – See page ix.
A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist

Category 2: Information Technology Records

Section 2.2 – Computer Operations and Technical Support

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
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 <u>1.2.001</u>) or in records disposition logs (RSIN <u>1.2.010</u>), but agencies should establish procedures governing disposal of these records as part of its records management plan (RSIN <u>1.2.014</u>).	
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			

Retention Codes – See page ii for caution statement.
 AC – See event trigger for specific records series definition
 AV – Administratively valuable
 CE – Calendar year end

FE – Fiscal year end
 LA – Life of asset
 PM – Permanent
 US – Until superseded

Archival Codes – See page ix.
 A/I – Transfer to State/University Archivist
 R/O – Review by State/University Archivist

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
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.	
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 .	

Retention Codes – See page ii for caution statement.
AC – See event trigger for specific records series definition
AV – Administratively valuable
CE – Calendar year end

FE – Fiscal year end
LA – Life of asset
PM – Permanent
US – Until superseded

Archival Codes – See page ix.
A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
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 <u>1.2.001</u>) or in records disposition logs (RSIN <u>1.2.010</u>), but agencies should establish procedures governing disposal of these records as part of its records management plan (RSIN <u>1.2.014</u>).	
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			
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.

Retention Codes – See page ii for caution statement.
AC – See event trigger for specific records series definition
AV – Administratively valuable
CE – Calendar year end

FE – Fiscal year end
LA – Life of asset
PM – Permanent
US – Until superseded

Archival Codes – See page ix.
A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist

Category 3: Personnel Records

Section 3.1 – Employee

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
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 <u>3.1.042</u> .	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.	

Retention Codes – See page ii for caution statement.
 AC – See event trigger for specific records series definition
 AV – Administratively valuable
 CE – Calendar year end

FE – Fiscal year end
 LA – Life of asset
 PM – Permanent
 US – Until superseded

Archival Codes – See page ix.
 A/I – Transfer to State/University Archivist
 R/O – Review by State/University Archivist

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
3.1.011	Employee Benefits	Agency copies of information relating to the selection by employees of life, disability, health, vision, dental, 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 <u>3.2.001</u> .	
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.	Government Code, 441.1855.
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. NOTE: Refer to SB20 (84th Leg.) for retention period context.	Government Code, 441.1855.

Retention Codes – See page ii for caution statement.
AC – See event trigger for specific records series definition
AV – Administratively valuable
CE – Calendar year end

FE – Fiscal year end
LA – Life of asset
PM – Permanent
US – Until superseded

Archival Codes – See page ix.
A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
3.1.014	Employment Selection Records	Includes notes of interviews with candidates; questions asked of applicants; audio and videotapes of job interviews; driving record and previous injury checks; pre-employment physical examinations; and all other records that document the selection process, except for those noted in Remarks.	AC+2		AC = Date of the making of the record or the personnel action involved, whichever occurs later. CAUTION: Does not include criminal history checks; see RSIN <u>3.1.026</u> . Does not include drug screening test results; see RSIN <u>3.1.040a/b/c</u> . Does not include pre-employment skills tests; see RSIN <u>3.3.027</u> and <u>3.3.028</u> . Does not include pre-employment polygraph examinations; see <u>RSIN 3.1.043</u> .	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 <u>1.1.048</u> .	
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).

Retention Codes – See page ii for caution statement.
AC – See event trigger for specific records series definition
AV – Administratively valuable
CE – Calendar year end

FE – Fiscal year end
LA – Life of asset
PM – Permanent
US – Until superseded

Archival Codes – See page ix.
A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
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 <u>3.1.021</u> , all documentation from this series used to support disciplinary action must be retained for the minimum retention period described by RSIN <u>3.1.021</u> .	
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.	

Retention Codes – See page ii for caution statement.
AC – See event trigger for specific records series definition
AV – Administratively valuable
CE – Calendar year end

FE – Fiscal year end
LA – Life of asset
PM – Permanent
US – Until superseded

Archival Codes – See page ix.
A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
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).
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 <u>3.1.014</u> . Does not include medical or physical examinations for employees exposed to hazardous materials. See RSIN <u>5.4.016a/b</u> .	

Retention Codes – See page ii for caution statement.
AC – See event trigger for specific records series definition
AV – Administratively valuable
CE – Calendar year end

FE – Fiscal year end
LA – Life of asset
PM – Permanent
US – Until superseded

Archival Codes – See page ix.
A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
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 later.	8 CFR 274a.2(b)(2)(i)(A) and (c)(2).
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 <u>3.1.014</u> for resumes, whether solicited or unsolicited, that are used in any way in the employment selection process.	

Retention Codes – See page ii for caution statement.
AC – See event trigger for specific records series definition
AV – Administratively valuable
CE – Calendar year end

FE – Fiscal year end
LA – Life of asset
PM – Permanent
US – Until superseded

Archival Codes – See page ix.
A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
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 <u>3.3.011</u> .	

Retention Codes – See page ii for caution statement.
AC – See event trigger for specific records series definition
AV – Administratively valuable
CE – Calendar year end

FE – Fiscal year end
LA – Life of asset
PM – Permanent
US – Until superseded

Archival Codes – See page ix.
A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
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.

Retention Codes – See page ii for caution statement. AC – See event trigger for specific records series definition AV – Administratively valuable CE – Calendar year end	FE – Fiscal year end LA – Life of asset PM – Permanent US – Until superseded	Archival Codes – See page ix. A/I – Transfer to State/University Archivist R/O – Review by State/University Archivist
--	---	--

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
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 <u>3.1.040a</u> for calibration documentation.	
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.
3.1.043	Polygraph Examination Results	Polygraph examinations and results that are administered as a part of the employment selection process.	3			29 CFR 801.

Retention Codes – See page ii for caution statement.
AC – See event trigger for specific records series definition
AV – Administratively valuable
CE – Calendar year end

FE – Fiscal year end
LA – Life of asset
PM – Permanent
US – Until superseded

Archival Codes – See page ix.
A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist

Category 3: Personnel Records

Section 3.2 – Payroll

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
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 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).

Retention Codes – See page ii for caution statement.
 AC – See event trigger for specific records series definition
 AV – Administratively valuable
 CE – Calendar year end

FE – Fiscal year end
 LA – Life of asset
 PM – Permanent
 US – Until superseded

Archival Codes – See page ix.
 A/I – Transfer to State/University Archivist
 R/O – Review by State/University Archivist

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
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			

Retention Codes – See page ii for caution statement.
AC – See event trigger for specific records series definition
AV – Administratively valuable
CE – Calendar year end

FE – Fiscal year end
LA – Life of asset
PM – Permanent
US – Until superseded

Archival Codes – See page ix.
A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist

Category 3: Personnel Records

Section 3.3 – Personnel Administration

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
3.3.001a	Affirmative Action Plans – Employees	Affirmative action plans for regular employees and apprenticeship programs.	AC+5		AC = Date of the making of the record or the personnel action involved, whichever occurs later.	29 CFR 30.12(d).
3.3.001b	Affirmative Action Plans – Contractors	Affirmative action plans for contractors and subcontractors.	AC+2		AC = Date of the making of the record or the personnel action involved, whichever occurs later.	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 <u>3.1.038</u> .	

<p>Retention Codes – See page ii for caution statement. AC – See event trigger for specific records series definition AV – Administratively valuable CE – Calendar year end</p>	<p>FE – Fiscal year end LA – Life of asset PM – Permanent US – Until superseded</p>	<p>Archival Codes – See page ix. A/I – Transfer to State/University Archivist R/O – Review by State/University Archivist</p>
---	--	---

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
3.3.015	Positions/Job Classification Review File	Records relating to review and monitoring of job classifications within an agency.	US+3			
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			

Retention Codes – See page ii for caution statement.
AC – See event trigger for specific records series definition
AV – Administratively valuable
CE – Calendar year end

FE – Fiscal year end
LA – Life of asset
PM – Permanent
US – Until superseded

Archival Codes – See page ix.
A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
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].

Retention Codes – See page ii for caution statement.
AC – See event trigger for specific records series definition
AV – Administratively valuable
CE – Calendar year end

FE – Fiscal year end
LA – Life of asset
PM – Permanent
US – Until superseded

Archival Codes – See page ix.
A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
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 <u>1.1.043</u> for external training records. See RSIN <u>3.1.027</u> for individual employee training records. CAUTION: Does not include hazardous material training records. See RSIN <u>5.4.007</u> .	
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.

Retention Codes – See page ii for caution statement.
AC – See event trigger for specific records series definition
AV – Administratively valuable
CE – Calendar year end

FE – Fiscal year end
LA – Life of asset
PM – Permanent
US – Until superseded

Archival Codes – See page ix.
A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist

Category 3: Personnel Records

Section 3.4 – Time and Leave

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
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 <u>3.4.006</u> 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).

Retention Codes – See page ii for caution statement.
 AC – See event trigger for specific records series definition
 AV – Administratively valuable
 CE – Calendar year end

FE – Fiscal year end
 LA – Life of asset
 PM – Permanent
 US – Until superseded

Archival Codes – See page ix.
 A/I – Transfer to State/University Archivist
 R/O – Review by State/University Archivist

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
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			

Retention Codes – See page ii for caution statement.
AC – See event trigger for specific records series definition
AV – Administratively valuable
CE – Calendar year end

FE – Fiscal year end
LA – Life of asset
PM – Permanent
US – Until superseded

Archival Codes – See page ix.
A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist

Category 4: Fiscal Records

Section 4.1 – General Accounting Records

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
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 <u>4.5.002</u> for reports associated with investments.	

<p>Retention Codes – See page ii for caution statement. AC – See event trigger for specific records series definition AV – Administratively valuable CE – Calendar year end</p>	<p>FE – Fiscal year end LA – Life of asset PM – Permanent US – Until superseded</p>	<p>Archival Codes – See page ix. A/I – Transfer to State/University Archivist R/O – Review by State/University Archivist</p>
---	--	---

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
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]

Retention Codes – See page ii for caution statement. AC – See event trigger for specific records series definition AV – Administratively valuable CE – Calendar year end	FE – Fiscal year end LA – Life of asset PM – Permanent US – Until superseded	Archival Codes – See page ix. A/I – Transfer to State/University Archivist R/O – Review by State/University Archivist
--	---	--

Category 4: Fiscal Records

Section 4.5 – Fiscal and Financial Reports

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
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 <u>4.7.008</u> .	

<p>Retention Codes – See page ii for caution statement. AC – See event trigger for specific records series definition AV – Administratively valuable CE – Calendar year end</p>	<p>FE – Fiscal year end LA – Life of asset PM – Permanent US – Until superseded</p>	<p>Archival Codes – See page ix. A/I – Transfer to State/University Archivist R/O – Review by State/University Archivist</p>
---	--	---

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
4.5.003	Annual Financial Reports	Annual Financial Reports (AFR) required by the General Appropriations Act (100 Day Report).	AC+6		<p>AC = September 1 of odd-numbered calendar years.</p> <p>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.</p> <p>CAUTION: If an agency does not produce a biennial or annual narrative report as described in RSIN <u>1.1.066</u>, then the archival requirement is met by sending the required copies of the reports to the Texas State Publications Depository Program, TSLAC.</p>	
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.	

Retention Codes – See page ii for caution statement.
AC – See event trigger for specific records series definition
AV – Administratively valuable
CE – Calendar year end

FE – Fiscal year end
LA – Life of asset
PM – Permanent
US – Until superseded

Archival Codes – See page ix.
A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
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

Retention Codes – See page ii for caution statement. AC – See event trigger for specific records series definition AV – Administratively valuable CE – Calendar year end	FE – Fiscal year end LA – Life of asset PM – Permanent US – Until superseded	Archival Codes – See page ix. A/I – Transfer to State/University Archivist R/O – Review by State/University Archivist
--	---	--

Section 4.7 – Other Fiscal

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
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.	

<p>Retention Codes – See page ii for caution statement. AC – See event trigger for specific records series definition AV – Administratively valuable CE – Calendar year end</p>	<p>FE – Fiscal year end LA – Life of asset PM – Permanent US – Until superseded</p>	<p>Archival Codes – See page ix. A/I – Transfer to State/University Archivist R/O – Review by State/University Archivist</p>
---	--	---

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
4.7.008a	Grant Records – Awarded	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.	
4.7.008b	Grant Records – Non-Awarded	Non-awarded, denied, or unfunded grant applications and proposals.	AC+2		AC = Date of notification.	
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.	

Retention Codes – See page ii for caution statement.
AC – See event trigger for specific records series definition
AV – Administratively valuable
CE – Calendar year end

FE – Fiscal year end
LA – Life of asset
PM – Permanent
US – Until superseded

Archival Codes – See page ix.
A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
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.
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).

Retention Codes – See page ii for caution statement.
AC – See event trigger for specific records series definition
AV – Administratively valuable
CE – Calendar year end

FE – Fiscal year end
LA – Life of asset
PM – Permanent
US – Until superseded

Archival Codes – See page ix.
A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist

Category 4: Fiscal Records

Section 4.8 – Banking Records

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
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			

Retention Codes – See page ii for caution statement.
 AC – See event trigger for specific records series definition
 AV – Administratively valuable
 CE – Calendar year end

FE – Fiscal year end
 LA – Life of asset
 PM – Permanent
 US – Until superseded

Archival Codes – See page ix.
 A/I – Transfer to State/University Archivist
 R/O – Review by State/University Archivist

Category 4: Fiscal Records

Section 4.9 – Budgeting

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
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			

Retention Codes – See page ii for caution statement.
 AC – See event trigger for specific records series definition
 AV – Administratively valuable
 CE – Calendar year end

FE – Fiscal year end
 LA – Life of asset
 PM – Permanent
 US – Until superseded

Archival Codes – See page ix.
 A/I – Transfer to State/University Archivist
 R/O – Review by State/University Archivist

Category 5: Support Services Records

Section 5.1 – General

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
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 <u>5.3.007a/b/c</u> for bid documentation. See RSIN <u>5.2.028</u> for building construction contracts. See RSIN <u>5.1.017</u> for contract logs.	Government Code, 441.1855.

Retention Codes – See page ii for caution statement.
 AC – See event trigger for specific records series definition
 AV – Administratively valuable
 CE – Calendar year end

FE – Fiscal year end
 LA – Life of asset
 PM – Permanent
 US – Until superseded

Archival Codes – See page ix.
 A/I – Transfer to State/University Archivist
 R/O – Review by State/University Archivist

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
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 <u>5.3.007a/b/c</u> for bid documentation. See RSIN <u>5.2.028</u> for building construction contracts. See RSIN <u>5.1.017</u> for contract logs. NOTE: Refer to SB20 (84th Leg.) for retention period context.	Government Code, 441.1855.
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			

Retention Codes – See page ii for caution statement.
AC – See event trigger for specific records series definition
AV – Administratively valuable
CE – Calendar year end

FE – Fiscal year end
LA – Life of asset
PM – Permanent
US – Until superseded

Archival Codes – See page ix.
A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
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.	Government Code, 441.1855.

Retention Codes – See page ii for caution statement.
AC – See event trigger for specific records series definition
AV – Administratively valuable
CE – Calendar year end

FE – Fiscal year end
LA – Life of asset
PM – Permanent
US – Until superseded

Archival Codes – See page ix.
A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
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. NOTE: Refer to SB20 (84th Leg.) for retention period context.	Government Code, 441.1855.
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			

Retention Codes – See page ii for caution statement.
AC – See event trigger for specific records series definition
AV – Administratively valuable
CE – Calendar year end

FE – Fiscal year end
LA – Life of asset
PM – Permanent
US – Until superseded

Archival Codes – See page ix.
A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist

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

Retention Codes – See page ii for caution statement.
AC – See event trigger for specific records series definition
AV – Administratively valuable
CE – Calendar year end

FE – Fiscal year end
LA – Life of asset
PM – Permanent
US – Until superseded

Archival Codes – See page ix.
A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist

Category 5: Support Services Records

Section 5.2 – Facility Management

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
5.2.001	Appraisals – Building or Property	Assessments or evaluations of the value of state-owned buildings or property.	AV	R		
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.	AC+10	R	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-owned facilities, structures, infrastructure, and systems.	LA	R	See RSIN 5.2.002 and 5.2.028 .	

<p>Retention Codes – See page ii for caution statement. AC – See event trigger for specific records series definition AV – Administratively valuable CE – Calendar year end</p>	<p>FE – Fiscal year end LA – Life of asset PM – Permanent US – Until superseded</p>	<p>Archival Codes – See page ix. A/I – Transfer to State/University Archivist R/O – Review by State/University Archivist</p>
---	--	---

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
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 <u>5.2.002</u> and <u>5.2.028</u> .	
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, checkout, and disposal of supplies, equipment, and property of a state agency. Includes lost, stolen, and damage reports.	FE+3		See RSIN <u>5.2.008</u> for the maintenance logs of individual pieces of equipment.	

Retention Codes – See page ii for caution statement. AC – See event trigger for specific records series definition AV – Administratively valuable CE – Calendar year end	FE – Fiscal year end LA – Life of asset PM – Permanent US – Until superseded	Archival Codes – See page ix. A/I – Transfer to State/University Archivist R/O – Review by State/University Archivist
--	---	--

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
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 <u>5.1.001</u> . For vehicle maintenance records, see RSIN <u>5.6.003</u> .	
5.2.010	Equipment Manuals		LA			
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 <u>5.2.006</u> 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 <u>2.2.013</u> 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			

Retention Codes – See page ii for caution statement.
AC – See event trigger for specific records series definition
AV – Administratively valuable
CE – Calendar year end

FE – Fiscal year end
LA – Life of asset
PM – Permanent
US – Until superseded

Archival Codes – See page ix.
A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
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.	
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.	LA+10	R	See also RSIN 5.2.002 and 5.2.003a/b .	

Retention Codes – See page ii for caution statement.
AC – See event trigger for specific records series definition
AV – Administratively valuable
CE – Calendar year end

FE – Fiscal year end
LA – Life of asset
PM – Permanent
US – Until superseded

Archival Codes – See page ix.
A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
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.	

Retention Codes – See page ii for caution statement.
AC – See event trigger for specific records series definition
AV – Administratively valuable
CE – Calendar year end

FE – Fiscal year end
LA – Life of asset
PM – Permanent
US – Until superseded

Archival Codes – See page ix.
A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist

Category 5: Support Services Records

Section 5.3 – Purchasing

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
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.	Government Code, 441.1855.

Retention Codes – See page ii for caution statement.
 AC – See event trigger for specific records series definition
 AV – Administratively valuable
 CE – Calendar year end

FE – Fiscal year end
 LA – Life of asset
 PM – Permanent
 US – Until superseded

Archival Codes – See page ix.
 A/I – Transfer to State/University Archivist
 R/O – Review by State/University Archivist

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
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		NOTE: Refer to SB20 (84th Leg.) for retention period context.	Government Code, 441.1855.
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			

Retention Codes – See page ii for caution statement.
AC – See event trigger for specific records series definition
AV – Administratively valuable
CE – Calendar year end

FE – Fiscal year end
LA – Life of asset
PM – Permanent
US – Until superseded

Archival Codes – See page ix.
A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
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 <u>1.1.020</u> and <u>1.1.021</u> 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 <u>5.3.007a/b/c</u> .	
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).

Retention Codes – See page ii for caution statement.
AC – See event trigger for specific records series definition
AV – Administratively valuable
CE – Calendar year end

FE – Fiscal year end
LA – Life of asset
PM – Permanent
US – Until superseded

Archival Codes – See page ix.
A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist

Category 5: Support Services Records

Section 5.4 – Risk Management

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
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 <u>5.4.014a/b</u> 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	Safety, Drill, and Inspection Records	Fire, safety, emergency drill, alarm, 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 = Date of drill, alarm, inspection, or date of the correction of deficiency, whichever applicable. CAUTION: Does not include inspection reports of building construction. See RSIN <u>5.2.028</u> .	

Retention Codes – See page ii for caution statement.
 AC – See event trigger for specific records series definition
 AV – Administratively valuable
 CE – Calendar year end

FE – Fiscal year end
 LA – Life of asset
 PM – Permanent
 US – Until superseded

Archival Codes – See page ix.
 A/I – Transfer to State/University Archivist
 R/O – Review by State/University Archivist

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
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 <u>3.1.027</u> 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 <u>5.4.009</u>) 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			

Retention Codes – See page ii for caution statement.
AC – See event trigger for specific records series definition
AV – Administratively valuable
CE – Calendar year end

FE – Fiscal year end
LA – Life of asset
PM – Permanent
US – Until superseded

Archival Codes – See page ix.
A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
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.	
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.	

Retention Codes – See page ii for caution statement.
AC – See event trigger for specific records series definition
AV – Administratively valuable
CE – Calendar year end

FE – Fiscal year end
LA – Life of asset
PM – Permanent
US – Until superseded

Archival Codes – See page ix.
A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
5.4.015	Hazardous Materials – Administrative Records	This series documents the use of hazardous carcinogenic compounds, building by building survey and plan to correct asbestos and other 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; research protocols; lists of carcinogenic compounds used; 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 or research completion. See RSIN <u>5.4.016a/b</u> for hazardous material exposure records.	29 CFR 1910.1001; 29 CFR 1910.1020(d)(ii); 25 TAC 295.62(a).
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).

Retention Codes – See page ii for caution statement.
AC – See event trigger for specific records series definition
AV – Administratively valuable
CE – Calendar year end

FE – Fiscal year end
LA – Life of asset
PM – Permanent
US – Until superseded

Archival Codes – See page ix.
A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
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).
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.	3	R	See RSIN <u>5.4.013</u> 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.	

Retention Codes – See page ii for caution statement.
AC – See event trigger for specific records series definition
AV – Administratively valuable
CE – Calendar year end

FE – Fiscal year end
LA – Life of asset
PM – Permanent
US – Until superseded

Archival Codes – See page ix.
A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
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 <u>1.1.002</u> 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 <u>1.1.002</u> for individual Audit records not related to the peer review of an Audit Plan.	Government Code, 2102.007(a)(5).

Retention Codes – See page ii for caution statement.
AC – See event trigger for specific records series definition
AV – Administratively valuable
CE – Calendar year end

FE – Fiscal year end
LA – Life of asset
PM – Permanent
US – Until superseded

Archival Codes – See page ix.
A/I – Transfer to State/University Archivist
R/O – Review by State/University Archivist

Category 5: Support Services Records

Section 5.5 – Telecommunications

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
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 <u>4.1.001</u> 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.	

<p>Retention Codes – See page ii for caution statement. AC – See event trigger for specific records series definition AV – Administratively valuable CE – Calendar year end</p>	<p>FE – Fiscal year end LA – Life of asset PM – Permanent US – Until superseded</p>	<p>Archival Codes – See page ix. A/I – Transfer to State/University Archivist R/O – Review by State/University Archivist</p>
---	--	---

Category 5: Support Services Records

Section 5.6 – Vehicles

Records Series Item No. (RSIN)	Records Series Title	Records Series Description	Retention Period	Archival	Remarks	Legal Citation
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		See RSIN 4.1.009 for payment of permit fees.	

Retention Codes – See page ii for caution statement.
 AC – See event trigger for specific records series definition
 AV – Administratively valuable
 CE – Calendar year end

FE – Fiscal year end
 LA – Life of asset
 PM – Permanent
 US – Until superseded

Archival Codes – See page ix.
 A/I – Transfer to State/University Archivist
 R/O – Review by State/University Archivist

ORDINANCE NO. 1191

AN ORDINANCE OF THE TOWN COUNCIL OF THE TOWN OF HIGHLAND PARK, TEXAS ESTABLISHING A RECORDS MANAGEMENT PROGRAM TO BE ADMINISTERED BY A RECORDS MANAGEMENT OFFICER; PRESCRIBING POLICIES AND PROCEDURES; PROVIDING A VALIDITY CLAUSE; PROVIDING A SEVERABILITY CLAUSE; PROVIDING FOR INCORPORATION INTO THE TOWN'S CODE OF ORDINANCES; AND PROVIDING AN EFFECTIVE DATE.

WHEREAS, Title 6, Subtitle C, Local Government Code, hereinafter referred to as Local Government Records Act, provides that a City or Town must establish by ordinance an active and continuing records management program to be administered by a Records Management Officer; and

WHEREAS, the Town of Highland Park, Texas, hereinafter referred to as Town, desires to adopt an ordinance for that purpose and to prescribe policies and procedures consistent with the Local Government Records Act and in the interests of cost-effective records keeping;

NOW, THEREFORE, BE IT ORDAINED BY THE TOWN COUNCIL OF THE TOWN OF HIGHLAND PARK, TEXAS:

SECTION I. DEFINITION OF TOWN RECORDS

- A. All papers, correspondence, memoranda, accounts, reports, maps, plans, photographs, sound and video recordings, files, microform, magnetic or paper tape, punched card, or other documents, regardless of physical form or characteristic, which have been or shall be created, received, filed, or recorded by any Town office or department or its lawful successor, or officials thereof in pursuance of law or ordinance or in the conduct, transaction, or performance of any business, duty, or function of public business, whether or not confidential or restricted in use, are hereby declared to be records of the Town of Highland Park, Texas (Town) and shall be without limitation created, maintained and disposed of in accordance with all provisions of this ordinance or procedures authorized by it and in no other manner.
- B. Library and museum, including but not limited to materials acquired solely for reference, exhibit and/or display, and stocks of publications, shall not constitute records for purposes of this ordinance.

SECTION II. TOWN RECORDS DECLARED PUBLIC PROPERTY

All Town records as defined in Section I, Subsection A, of this ordinance are hereby declared to be property of the Town. No Town official and/or employee or his or her

successors has, by virtue of his or her position, any personal or property right to such records even though he or she may have developed or compiled them. The unauthorized destruction, removal from files, and/or use of such records is prohibited.

SECTION III. POLICY

It is hereby declared to be the policy of the Town to provide for efficient, economical and effective controls over the creation, distribution, organization, maintenance, use, and disposition of all records through a comprehensive system of integrated procedures for the management of records from their creation to their ultimate disposition.

SECTION IV. DESIGNATION OF RECORDS MANAGEMENT OFFICER.

The Town Administrator is hereby designated as Records Management Officer for the Town. The Records Management Officer shall cause his or her name to be filed with the Director and Librarian of the Texas State Library within thirty (30) days of the effective date of this ordinance. Any of the duties imposed upon the Records Management Officer by this section may be delegated to any official or employee of the Town under the administrative control of the Town Administrator.

SECTION V. DUTIES OF RECORDS MANAGEMENT OFFICER.

The Records Management Officer shall have the following duties; however, duties assigned shall be limited to records management activities:

- A. Plan, formulate, and prescribe basic files management and records disposition policies, systems, standards, and procedures.
- B. Prepare records retention and disposition schedules in cooperation with Department Heads for all offices and departments; define and identify all vital and permanent records, and establish retention periods for all records. Retention periods shall be no shorter than desired by the originating office or department, but shall be as long as deemed necessary by either the Records Management Officer or Records Management Committee.
- C. Review schedules annually, and update or amend schedules if needed.
- D. Provide records management advice and assistance to Department Heads for all offices and departments, by preparation of manuals outlining procedures and policies, and by on-site consultation.

- E. Develop, disseminate, and coordinate a files maintenance and records disposition procedures, without limitation to those prescribed by this ordinance, to meet the current and long-term information needs of the Town.
- F. Train departmental Records Officers and other personnel in the fundamentals of records management and their duties in the records management program.
- G. Carry out at the proper time actions such as microphotography, destruction, and transfers that are required by records schedules.
- H. Establish, monitor and require compliance with standards for filing and storage equipment and supplies in all offices and departments.
- I. Develop Town wide forms design and control system.
- J. Establish in cooperation with other responsible officials or employees, a disaster plan for each Town office or department to insure maximum availability of records for re-establishing operations quickly and with minimum disruption and expense.
- K. Develop procedures to insure the permanent preservation of the historically valuable records of the Town.
- L. Protect privacy and assure availability of public information from records; bring attention to the Town Administrator any office or department not in compliance with laws or regulations regarding public access to information or protection of privacy.

SECTION VI. RESPONSIBILITIES OF TOWN DEPARTMENT HEADS

All Town department heads are responsible for the implementation and operation of effective files operations, records transfers and dispositions, and other activities in accordance with the provisions of this ordinance within their areas of responsibility. They are designated Records Officers and will provide the Records Management Officer the names of such designees of all file stations and file custodians under their supervision.

SECTION VII. RESPONSIBILITIES OF RECORDS OFFICERS

The Records Officer in each office or department is responsible for providing coordination between the Records Management Officer and personnel in his or her office or

department to ensure that all provisions of this ordinance are complied with. This responsibility shall include overseeing the application of records schedules within his or her office and/or department.

SECTION VIII. TOWN OFFICES TO USE RECORDS SCHEDULES

All Town offices and departments shall adopt records retention and disposition schedules, and destroy, transfer, or otherwise dispose of records only according to such schedules.

SECTION IX. DEVELOPMENT OF RECORDS RETENTION AND DISPOSITION SCHEDULES

- A. A Records Management Committee consisting of Town Department Heads and Town Attorney is hereby established. This Committee shall:
1. assist the Records Management Officer in the development of policies and procedures governing the records management program
 2. review the performance of the program on a regular basis and propose changes and improvements as needed
 3. review and approve records control schedules
 4. give final approval to the destruction of records in accordance with approved records control schedules; and
 5. actively support and promote the records management program throughout the Town.
- B. The records retention and disposition schedule shall be submitted to the Town Council for approval, and upon approval shall constitute full authority to destroy, transfer, microphotograph, or take other actions. The Records Management Officer shall notify the State Librarian of intended destruction as required by law but no further notice to the State or Town shall be required.
- C. Revision of retention periods shall be submitted for review and adopted in the same manner as the original retention periods.

SECTION X. ONE-TIME DESTRUCTION OF OBSOLETE RECORDS

Prior to adoption of records schedules for an office or department, one-time destruction of accumulated obsolete records of that office or department may be made as approved by the Town Council under the supervision of the Records

Management Officer. Prior to such destruction, the Records Management Officer shall submit lists of any records to be destroyed to the Records Management Committee. The Committee shall give written notice within ten (10) working days of any records the Committee deems should not be destroyed, and such records shall be retained for a period suggested by the Committee. The Records Management Officer shall also submit notice as required by law to the State Librarian. Obsolete records shall include without limitation records no longer created by the office or department and no longer needed for administrative, legal, fiscal, or other research purposes.

SECTION XI. PRESERVATION OF PERMANENT RECORDS

The Records Management Officer shall develop procedures to insure the permanent preservation of the historically valuable records of the Town. The Records Management Officer shall provide housing under archival conditions for such records in a municipal facility and in such manner that the records, unless their use is restricted by law or regulation, are open to the public for research purposes. If Town owned facilities are not available, the Records Management Officer shall arrange for the transfer of the records to the Texas State Library for perpetual care and preservation in one of its nearby regional historical resource depositories, or shall make other arrangements for their permanent preservation not contrary to law or regulation. In no circumstances shall any permanent records of the Town be transferred to private individuals, to private historical societies or museums, or to private colleges or universities.

SECTION XII. MICRO-GRAPHICS PROGRAM ESTABLISHED

A centralized micro-graphics program shall be designed and implemented by the Records Management Officer to serve all Town offices and departments.

Unless a micro-graphics program in an office or department is specifically exempted by order of the Town Council, all microfilming of records will be centralized and under direct supervision of the Records Management Officer. The records management plan will establish policies and procedures for the microfilming of Town records including without limitation policies to ensure that all microfilming is done in accordance with standards and procedures for microfilming of local government records established in rules of the Texas State Library and Archives Commission. The plan will also establish criteria for determining eligibility of records for microfilming. Procedures will be established for insuring that microfilm programs, exempt from the centralized operations, are reviewed periodically for their cost effectiveness, administrative efficiency and conformance with State Library rules.

SECTION XIII. VALIDITY.

Should any portion of any Town ordinance conflict with any provision of this ordinance the same is hereby repealed, and all other provisions of the conflicting ordinance shall remain in full force and effect.

SECTION XIV. SEVERABILITY.

Should any word, phrase, sentence section or subsection of this ordinance be held to be void, unconstitutional or unenforceable, the same shall not affect the validity of the remaining portions of this ordinance which shall remain in full force and effect.

SECTION XV. INCORPORATION.

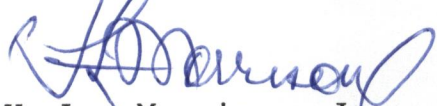
This ordinance shall be deemed to be incorporated into the Town's Code of Ordinances.

SECTION XVI. EFFECTIVE DATE.

This ordinance shall become effective immediately upon its passage and approval, as provided by law.

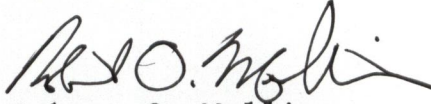
PASSED AND APPROVED by the Highland Park Town Council on this the 17th day of December, 1990.

APPROVED AS TO FORM:



H. Lou Morrison, Jr.
Town Attorney

APPROVED:



Robert O. Mullins
Mayor

ATTEST:



James Fisher
Town Secretary

ORDINANCE NO. ~~494~~ 2163

AN ORDINANCE OF THE TOWN COUNCIL OF THE TOWN OF HIGHLAND PARK, TEXAS ~~ESTABLISHING AMENDING A~~ CHAPTER 1, GENERAL PROVISIONS, BY REPEALING AND REPLACING ARTICLE 1.08, RECORDS MANAGEMENT; ~~RECORDS MANAGEMENT PROGRAM TO BE ADMINISTERED BY A RECORDS MANAGEMENT OFFICER;~~ PRESCRIBING POLICIES AND PROCEDURES FOR THE RECORDS MANAGEMENT PROGRAM; DESIGNATING A RECORDS MANAGEMENT OFFICER; ADOPTING RECORDS CONTROL SCHEDULES; PROVIDING FOR COOPERATION WITH STATE SURVEYS; PROVIDING A VALIDITY CLAUSE; PROVIDING A SEVERABILITY CLAUSE; PROVIDING FOR INCORPORATION INTO THE TOWN'S CODE OF ORDINANCES; AND PROVIDING AN EFFECTIVE DATE.

WHEREAS, Title 6, Subtitle C, Local Government Code, hereinafter referred to as Local Government Records Act, provides that a ~~c~~City or ~~t~~Town must establish by ordinance an active and continuing records management program to be administered by a Records Management Officer; and

WHEREAS, the Town of Highland Park, Texas (the "Town") desires to establish, promote, and support an active and continuing program for the efficient and economical management of the Town's records; and

WHEREAS, the purpose of the records management program (the "Program") is to facilitate the creation and maintenance of Town records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the Town and to furnish the information necessary to protect the legal and financial rights of the Town, the State of Texas, and persons affected by the activities of the Town; and

WHEREAS, the Program shall serve to facilitate the identification, preservation, and protection of the Town's essential records and records that are of permanent value; and

WHEREAS, the Town of Highland Park, Texas, hereinafter referred to as Town, desires to adopt an ordinance for ~~that~~ the above stated purposes and to prescribe policies and procedures consistent with the Local Government Records Act and in the interests of cost-effective records keeping;

NOW, THEREFORE, BE IT ORDAINED BY THE TOWN COUNCIL OF THE TOWN OF HIGHLAND PARK, TEXAS:

SECTION I. ~~DEFINITION OF TOWN RECORDS~~ INCORPORATION OF RECITALS

All matters stated in the recitals above are found to be true and correct legislative and factual findings of the Town and are hereby approved and incorporated herein and made a part hereof for all purposes.

~~A. All papers, correspondence, memoranda, accounts, reports, maps, plans, photographs, sound and video recordings, files, microform, magnetic or paper tape, punched card, or~~

~~other documents, regardless of physical form or characteristic, which have been or shall be created, received, filed, or recorded by any Town office or department or its lawful successor, or officials thereof in pursuance of law or ordinance or in the conduct, transaction, or performance of any business, duty, or function of public business, whether or not confidential or restricted in use, are hereby declared to be records of the Town of Highland Park, Texas (Town) and shall be without limitation created, maintained and disposed of in accordance with all provisions of this ordinance or procedures authorized by it and in no other manner.~~

~~B. Library and museum, including but not limited to materials acquired solely for reference, exhibit and/or display, and stocks publications, shall not constitute records for purposes of this ordinance.~~

SECTION II. TOWN RECORDS DECLARED PUBLIC PROPERTY AMENDMENT.

Chapter 1, General Provisions, is hereby amended by repealing Article 1.08, Records management, in its entirety, and replacing it with a new Article 1.08 to read as follows, with all other Chapters, Articles, Sections, and Subsections not herein amended to remain in full force and effect:

Article 1.08 RECORDS MANAGEMENT

1.08.001 DEFINITION OF TOWN RECORDS

All documents, papers, letters, books, maps, photographs, sound and video recordings, microform, magnetic tape, electronic media, or other information-recording media regardless of physical form or characteristic and regardless of whether public access to it is open or restricted under the laws of the state, created or received by the Town of Highland Park or any of its officers or employees pursuant to law or in the transaction of public business, are declared to be the records of the Town of Highland Park, Texas and shall be created, maintained and disposed of in accordance with all provisions of this ordinance or procedures authorized by it and in no other manner.

1.08.002 TOWN RECORDS DECLARED PUBLIC PROPERTY

All Town records, as defined in Section 1.08.001, are hereby declared to be property of the Town of Highland Park. No Town official and/or employee or his or her successor has, by virtue of his or her position, any personal or property right to such records even though he or she may have developed or compiled them. Unauthorized destruction, removal from files, and/or use of such records is prohibited.

~~All Town records as defined in Section I, Subsection A, this ordinance are hereby declared to be property of the Town. No Town official and/or employee or his or her successor has, by virtue of his or her position, any personal or property right to such records even though he or she may have developed or compiled them. The unauthorized destruction, removal from files, and/or use of such records is prohibited.~~

SECTION III. 1.08.003 POLICY

It is hereby declared to be the policy of the Town of Highland Park to provide for efficient, economical, and effective controls over the creation, distribution, organization, maintenance, use, and disposition of all records of this office through a comprehensive system of integrated procedures for the management of records from their creation to their ultimate disposition, consistent with the requirements of the Local Government Records Act and accepted records management practice. This policy shall apply to all employees, agents, independent contractors, and volunteers of the Town of Highland Park

~~It is hereby declared to be the policy of the Town to provide for efficient, economical, and effective controls over the creation, distribution, organization, maintenance, use, and disposition of all records through a comprehensive system of integrated procedures for the management of records from their creation to their ultimate disposition.~~

SECTION IV. DESIGNATION OF 1.08.004 RECORDS MANAGEMENT OFFICER.

~~The Town Administrator Secretary is hereby will serve as designated as Records Management Officer for the Town of Highland Park, as provided by law, and will develop policies and procedures for the Records Management Program to ensure that the maintenance, preservation, security, destruction, electronic storage, and other disposition of the records of this office are carried out in accordance with the requirements of the Local Government Records Act. The Records Management Officer shall cause his or her name to be filed with the Director and Librarian of the Texas State Library within thirty (30) days of the effective date of this ordinance. Any of the duties imposed upon the Records Management Officer by this section may be delegated to any official or employee of the Town under the administrative control of the Town Administrator.~~

SECTION V.— DUTIES OF RECORDS MANAGEMENT OFFICER; 1.08.005 RECORDS CONTROL SCHEDULES

The Town's records control schedule shall be the applicable records control schedules issued by the Texas State Library and Archives Commission. These schedules shall be adopted by the Records Management Officer for use in the Town of Highland Park, as provided by law. The Records Management Officer shall prepare amendments to the schedules as needed to reflect new records created or received by this office, or revisions to retention periods established in a records retention schedule issued by the Commission. Any destruction of records of the Town of Highland Park will be in accordance with these schedules and the Local Government Records Act.

SECTION II. STATE SURVEYS.

The Town Council directs the Town Secretary to cooperate with the Texas State Library and Archives Commission in its conduct of statewide records management surveys, in accordance with Texas Local Government Code section 203.021.

The Records Management Officer shall have the following duties; however, duties assigned shall be limited to records management activities:

- ~~A. Plan, formulate, and prescribe basic files management and records disposition policies, systems, standards, and procedures.~~
- ~~B. Prepare records retention and disposition schedules in cooperation with Department Heads for all offices and departments; define and identify all vital and permanent records, and establish retention periods for all records. Retention periods shall be no shorter than desired by the originating office or department, but shall be as long as deemed necessary by either the Records Management Officer or Records Management Committee.~~
- ~~C. Review schedules annually, and update or amend schedules if needed.~~
- ~~D. Provide records management advice and assistance to Department Heads for all offices and departments, by preparation of manuals outlining procedures and policies, and by on-site consultation.~~
- ~~E. Develop, disseminate, and coordinate a files maintenance and records disposition procedures, without limitation to those prescribed by this ordinance, to meet the current and long-term information needs of the Town.~~
- ~~F. Train departmental Records Officers and other personnel in the fundamentals of records management and their duties in the records management program.~~
- ~~G. Carry out at the proper time actions such as microphotography, destruction, and transfers that are required by records schedules.~~
- ~~H. Establish, monitor and require compliance with standards for filing and storage equipment supplies in all offices and departments.~~
- ~~I. Develop town-wide forms design and control system.~~
- ~~J. Establish in cooperation with other responsible officials or employees, a disaster plan for each Town office or department to insure maximum availability of records for re-establishing operations quickly and with minimum disruption and expense.~~
- ~~K. Develop procedures to ensure the permanent preservation of the historically valuable records of the Town.~~
- ~~L. Protect privacy and assure availability of public information from records; bring attention to the Town Administrator any office or department not in compliance with laws or regulations regarding public access to information or protection of privacy.~~

~~SECTION VI.— RESPONSIBILITIES OF TOWN DEPARTMENT HEADS~~

~~All Town department heads are responsible for the implementation and operation of effective files operations, records transfers and dispositions, and other activities in accordance with the provisions of this ordinance within their areas of responsibility. They are designated Records Officers and will provide the Records Management Officer the names of such designees of all file stations and file custodians under their supervision.~~

~~SECTION VII.— RESPONSIBILITIES OF RECORDS OFFICERS~~

~~The Records Officer in each office or department is responsible for providing coordination between the Records Management Officer and personnel in his or her office or department to ensure that all provisions of this ordinance are complied with. This responsibility shall include overseeing the application of records schedules within his or her office and/or department.~~

~~SECTION VIII.— TOWN OFFICES TO USE RECORDS SCHEDULES~~

~~All Town offices and departments shall adopt records retention and disposition schedules, and destroy, transfer, or otherwise dispose of records only according to such schedules.~~

~~SECTION IX.— DEVELOPMENT OF RECORDS RETENTION AND DISPOSITION SCHEDULES~~

~~A. A Records Management Committee consisting of Town Department Heads and Town Attorney is hereby established. This Committee shall:~~

- ~~1. assist the Records Management Officer in the development of policies and procedures governing the records management program~~
- ~~2. review the performance of the program on a regular basis and propose changes and improvements as needed~~
- ~~3. review and approve records control schedules~~
- ~~4. give final approval to the destruction of records in accordance with approved records control schedule; and~~
- ~~5. actively support and promote the records management program throughout the Town.~~

~~B. The records retention and disposition schedule shall be submitted to the Town Council for approval, and upon approval shall constitute full authority to destroy, transfer, microphotograph, or take other actions. The Records Management Officer~~

shall notify the State Librarian of intended destruction as required by law but no further notice to the State or Town shall be required.

~~C. Revision of retention periods shall be submitted for review and adopted same manner as their the original retention periods.~~

~~SECTION X.— ONE TIME DESTRUCTION OF OBSOLETE RECORDS~~

~~Prior to adoption of records schedules for an office or department, one-time destruction of accumulated obsolete records of that office or department may be made as approved by the Town Council under the supervision of the Records Management Officer. Prior to such destruction, the Records Management Officer shall submit lists of any records to be destroyed to the Records Management Committee. The Committee shall give written notice within ten (10) working days of any records the Committee deems should not be destroyed, and such records shall be retained for a period suggested by the Committee. The Records Management Officer shall also submit notice as required by law to the State Librarian. Obsolete records shall include without limitation records no longer created by the office or department and no longer needed for administrative, legal, fiscal, or other research purposes.~~

~~SECTION XI.— PRESERVATION OF PERMANENT RECORDS~~

~~The Records Management Officer shall develop procedures to ensure the permanent preservation of the historically valuable records of the Town. The Records Management Officer shall provide housing under archival conditions for such records in a municipal facility and in such manner that the records, unless their use is restricted by law or regulation, are open to the public for research purposes. If Town owned facilities are not available, the Records Management Officer shall arrange for the transfer of the records to the Texas State Library for perpetual care and preservation in one of its nearby regional historical resource depositories, or shall make other arrangements for their permanent preservation not contrary to law or regulation. In no circumstances shall any permanent records of the Town be transferred to private individuals, to private historical societies or museums, or to private colleges or universities.~~

~~SECTION XII.— MICRO GRAPHICS PROGRAM ESTABLISHED~~

~~A centralized micro-graphics program shall be designed and implemented by the Records Management Officer to serve all Town offices and departments.~~

~~Unless a micro-graphics program in an office or department is specifically exempted by order of the Town Council, all microfilming of records will be centralized and under direct supervision of the Records Management Officer. The records management plan will establish policies and procedures for the microfilming of Town records, including, without limitation, policies to ensure that all microfilming is done in accordance with standards and procedures for microfilming of local government records established in rules of the Texas State Library and Archives Commission. The plan will also establish criteria for determining eligibility of records for microfilming. Procedures will be established for ensuring that microfilm programs, exempt from the centralized operations,~~

~~are reviewed periodically for their cost effectiveness, administrative efficiency and conformance with State Library rules.~~

SECTION ~~XIII~~. VALIDITY.

Should any portion of any Town ordinance conflict with any provision of this ordinance the same is hereby repealed, and all other provisions of the conflicting ordinance shall remain in full force and effect.

SECTION ~~XIV~~. SEVERABILITY.

Should any word, phrase, sentence section or subsection of this ordinance be held to be void, unconstitutional or unenforceable, the same shall not affect the validity of the remaining portions of this ordinance which shall remain in full force and effect.

SECTION ~~XV~~. INCORPORATION.

This ordinance shall be deemed to be incorporated into the Town's Code of Ordinances.

SECTION ~~XVI~~. EFFECTIVE DATE.

This ordinance shall become effective immediately upon its passage and approval, as provided by law.

PASSED AND APPROVED by the Highland Park Town Council on this ~~17th-3rd~~ day of ~~December~~ February, ~~1990~~ 2026.

APPROVED AS TO FORM:

APPROVED:

Susan Thomas
Town Attorney

Will C. Beecherl
Mayor

ATTEST:

Joanna Mekeal
Town Secretary

ORDINANCE NO. 2163

AN ORDINANCE OF THE TOWN COUNCIL OF THE TOWN OF HIGHLAND PARK, TEXAS AMENDING CHAPTER 1, GENERAL PROVISIONS, BY REPEALING AND REPLACING ARTICLE 1.08, RECORDS MANAGEMENT; PRESCRIBING POLICIES AND PROCEDURES FOR THE RECORDS MANAGEMENT PROGRAM; DESIGNATING A RECORDS MANAGEMENT OFFICER; ADOPTING RECORDS CONTROL SCHEDULES; PROVIDING FOR COOPERATION WITH STATE SURVEYS; PROVIDING A VALIDITY CLAUSE; PROVIDING A SEVERABILITY CLAUSE; PROVIDING FOR INCORPORATION INTO THE TOWN'S CODE OF ORDINANCES; AND PROVIDING AN EFFECTIVE DATE.

WHEREAS, Title 6, Subtitle C, Local Government Code, hereinafter referred to as Local Government Records Act, provides that a city or town must establish by ordinance an active and continuing records management program to be administered by a records management officer; and

WHEREAS, the Town of Highland Park, Texas (the "Town") desires to establish, promote, and support an active and continuing program for the efficient and economical management of the Town's records; and

WHEREAS, the purpose of the records management program (the "Program") is to facilitate the creation and maintenance of Town records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the Town and to furnish the information necessary to protect the legal and financial rights of the Town, the State of Texas, and persons affected by the activities of the Town; and

WHEREAS, the Program shall serve to facilitate the identification, preservation, and protection of the Town's essential records and records that are of permanent value; and

WHEREAS, the Town of Highland Park, Texas, hereinafter referred to as Town, desires to adopt an ordinance for the above stated purposes and to prescribe policies and procedures consistent with the Local Government Records Act and in the interests of cost-effective records keeping.

NOW, THEREFORE, BE IT ORDAINED BY THE TOWN COUNCIL OF THE TOWN OF HIGHLAND PARK, TEXAS:

SECTION I. INCORPORATION OF RECITALS.

All matters stated in the recitals above are found to be true and correct legislative and factual findings of the Town and are hereby approved and incorporated herein and made a part hereof for all purposes.

SECTION II. AMENDMENT.

Chapter 1, General Provisions, is hereby amended by repealing Article 1.08, Records management, in its entirety, and replacing it with a new Article 1.08 to read as follows, with all other Chapters, Articles, Sections, and Subsections not herein amended to remain in full force and effect:

Article 1.08 RECORDS MANAGEMENT

1.08.001 DEFINITION OF TOWN RECORDS

All documents, papers, letters, books, maps, photographs, sound and video recordings, microform, magnetic tape, electronic media, or other information-recording media regardless of physical form or characteristic and regardless of whether public access to it is open or restricted under the laws of the state, created or received by the Town of Highland Park or any of its officers or employees pursuant to law or in the transaction of public business, are declared to be the records of the Town of Highland Park, Texas and shall be created, maintained and disposed of in accordance with all provisions of this ordinance or procedures authorized by it and in no other manner.

1.08.002 TOWN RECORDS DECLARED PUBLIC PROPERTY

All Town records, as defined in Section 1.08.001, are hereby declared to be property of the Town of Highland Park. No Town official and/or employee or his or her successor has, by virtue of his or her position, any personal or property right to such records even though he or she may have developed or compiled them. Unauthorized destruction, removal from files, and/or use of such records is prohibited.

1.08.003 POLICY

It is hereby declared to be the policy of the Town of Highland Park to provide for efficient, economical, and effective controls over the creation, distribution, organization, maintenance, use, and disposition of all records of this office through a comprehensive system of integrated procedures for the management of records from their creation to their ultimate disposition, consistent with the requirements of the Local Government Records Act and accepted records management practice. This policy shall apply to all employees, agents, independent contractors, and volunteers of the Town of Highland Park

1.08.004 RECORDS MANAGEMENT OFFICER.

The Town Secretary will serve as Records Management Officer for the Town of Highland Park, as provided by law, and will develop policies and procedures for records management program to ensure that the maintenance, preservation, security, destruction, electronic storage, and other disposition of the records of this office are carried out in accordance with the requirements of the Local Government Records Act.

1.08.005 RECORDS CONTROL SCHEDULES

The Town's records control schedules shall be the applicable records control schedules issued by the Texas State Library and Archives Commission. These schedules shall be adopted by the Records Management Officer for use in the Town of Highland Park, as provided by law. The Records Management Officer shall prepare amendments to the schedules as needed to reflect new records created or received by this office, or revisions to retention periods established in a records retention schedule issued by the Commission. Any destruction of records of the Town of Highland Park will be in accordance with these schedules and the Local Government Records Act.

SECTION II. STATE SURVEYS.

The Town Council directs the Town Secretary to cooperate with the Texas State Library and Archives Commission in its conduct of statewide records management surveys, in accordance with Texas Local Government Code section 203.021.

SECTION III. VALIDITY.

Should any portion of any Town ordinance conflict with any provision of this ordinance the same is hereby repealed, and all other provisions of the conflicting ordinance shall remain in full force and effect.

SECTION IV. SEVERABILITY.

Should any word, phrase, sentence, section, or subsection of this ordinance be held to be void, unconstitutional, or unenforceable, the same shall not affect the validity of the remaining portions of this ordinance, which shall remain in full force and effect.

SECTION V. INCORPORATION.

This ordinance shall be deemed to be incorporated into the Town's Code of Ordinances.

SECTION VI. EFFECTIVE DATE.

This ordinance shall become effective immediately upon its passage and approval, as provided by law.

PASSED AND APPROVED by the Highland Park Town Council on this 3rd day of February 2026.

APPROVED AS TO FORM:

APPROVED:

Susan Thomas
Town Attorney

Will C. Beecherl
Mayor

ATTEST:

Joanna Mekeal
Town Secretary



**Town of Highland Park
Town Council Study Session
Tuesday, January 20, 2026**

Item Coversheet

Review, discuss, and consider the opportunity for a Town Council Member to request an item to be placed on a future Town Council Meeting agenda.

PRESENTED BY: Joanna Mekeal, Town Secretary

BACKGROUND:

This item is provided at the request of the Mayor for a member of the Town Council to request that an item be placed on a future Town Council study session agenda for discussion or consideration. Town Council discussion and consideration would be limited only to including a potential agenda item and scheduling such on a future agenda. The agenda item would be included as part of the study session agenda of regular Town Council meetings.

RECOMMENDATION

Staff recommends approval of the inclusion of the agenda item for future regular Town Council meetings (not special or emergency).

FINANCIAL IMPACT

This item has no financial impact.

ATTACHMENTS

None