

May 30, 2023



Virginia S. Fields
General Counsel
Texas Racing Commission
1801 N. Congress, Ste. 7.600
Austin, TX 78701

Dear Ms. Fields,

The 10th recertification of your agency's records retention schedule is approved for use as of **5/30/2023**, and it may be accessed on our website at <https://www.tsl.texas.gov/slrn/state/schedules>. Please ensure that all old copies of the schedule are superseded with this certified copy.

Lorenzo de Zavala
State Archives and
Library Building

1201 Brazos Street
Austin, Texas
78701

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

www.tsl.texas.gov

Commission Chair
Martha Wong

Members
David C. Garza
F. Lynwood Givens
David Iglesias
Arthur T. Mann
Bradley S. Tegeler
Darryl Tocker

Director and Librarian
Gloria Meraz

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

Each agency schedule must be reviewed, updated, and submitted for recertification according to a timeline established by the Texas State Library and Archives Commission. Your next recertification is scheduled for **May 2028**.

During a certification period, changes may need to be made to your schedule. State rules (13 TAC §6.4) also allow for the submission of amendments to the retention schedule as needed to keep the information in the schedule current. If you are not familiar with the amendment process, or if you have any other questions, please contact the Government Information Analyst assigned to your agency:

Erica Wilson-Lang
512-463-5448
ewilson@tsl.texas.gov

Your efforts in developing a records retention schedule are appreciated. It not only helps to ensure the integrity of your recordkeeping practices, but it is also essential to the success of your records management program.

Sincerely,

A handwritten signature in blue ink, appearing to read "G. Kelso".

Craig Kelso
Director and State Records Administrator

cc: Agency head

TSLAC

*Preserving yesterday
Informing today
Inspiring tomorrow*



STATE OF TEXAS
Records Retention Schedule Certification

SLR 105C

Form SLR 105 or SLR 122 must accompany all submissions of this form.

Section 1. Agency Information

(Submitting agencies complete this section only)

Agency Code 476
 Agency Name Texas Racing Commission

(Check one)

- Initial Certification - Form SLR 105
- Recertification - Form SLR 105
- Amendment - Form SLR 122

I hereby certify that this records retention schedule was prepared in accordance with Texas Government Code, Chapter 441, Subchapter L.

(Check one)

- Agency Head
- Records Management Officer

Signature *Va. Fields*

Name *(Print or type)* Virginia S. Fields

Date 3/30/23

Section 2. Approvals

(Submitting agencies do not write in this section)

State Auditor's Office
(For the exclusive use of the State Auditor's Office)

Signature _____
 Name *(Print or type)* _____
 Date _____

Not Required at This Time

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

Signature *Gloria Meroz*
 Name *(Print or type)* Gloria Meroz
 Date 5-30-2023

Cert/Recert No. 10 Amendment No. _____

CAUTION

A state record with an expired retention period 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 with a retention period that 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.

Amendment Note: If this schedule is amended at any point after certification, updated records series will be indicated by an asterisk (*) preceding the Agency Item Number (AIN).

State and Local Records Management Division
Texas State Library and Archives Commission
(Rev. 7/20)





STATE OF TEXAS
Records Retention Schedule

SLR 105
 Rev. 2021-07

Retention Codes (field 7)

AC – See field 9 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 (Field 10)

A/I – Transfer to State/University Archivist
 R/O – Review by State/University Archivist
 E – Exempt from archival review and transfer

1. Agency Code: 476		2. Agency Name: Texas Racing Commission									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
1-1	--	Regulatory Oversight Files	Includes reports and information from race tracks and training facilities	AV	5					Medium: Paper; Disposition: Recycle	Tex. Occ. Code Chs. 2026, 2027 and 2028
1-2	--	Racing Industry Information	Includes reports and information from industry and horsemen groups, breed registries, and associations.	AV	5					Medium: Paper; Disposition: Recycle	Tex. Occ. Code Ch. 2028
1-4	--	Racetrack Inspection Files	Agency inspection program related to racetrack operations.	CE	5					Medium: Paper; Disposition: Recycle; CAUTION: Does not include information that is directly related to another records series on the agency's approved schedule.	16 Tex. Admin. Code § 309.104
1-5	1.1.014	Legal Opinions and Advice	From agency legal counsel or the Attorney General, including any requests eliciting the opinions.	AV					R	Record copy: General Counsel 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.	
1-6	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		



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1-7	1.1.006	Complaint Records	All complaints received by an agency from the public concerning the agency and records pertaining to the resolution of the complaint.	AC	5			AC=Final disposition of the complaint.		Medium: Paper; Disposition: Shred Also see Database Series. CAUTION: If a complaint becomes the subject of litigation, it must be included in and is subject to the minimum retention period of AIN 1-19.	Tex. Occ. Code §2033.057
1-8	1.1.007	Correspondence - Administrative	Incoming/outgoing and internal correspondence pertaining to the formulation, planning, implementation, interpretation, modification, or redefinition of the programs, services, or projects of an agency and the administrative regulations, policies, and procedures that govern them.		4				R	Medium: Paper; Disposition: Archives; ARCHIVES NOTE: Only the administrative correspondence of executive staff, board or commission members, division directors and program heads require archival review. Contact the State Archives when these records have met their retention periods. CAUTION: This records series should be used only for correspondence that is not included in or directly related to another records series on the agency's approved schedule.	
1-9	1.1.008	Correspondence-General	Non-administrative incoming/outgoing and internal correspondence, in any media, pertaining to or arising from the routine operations of the policies, programs, or projects of an agency.		3					Medium: Paper; Disposition: Shred CAUTION: This records series should be used only for correspondence that is not included in or directly related to another records series on the agency's approved schedule.	



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1-10	1.1.040	Speeches, Papers, and Presentations	Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	2			AC=End of event,until superseded, or obsolete.	R	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.	
1-11	1.1.019	Public Relations Records	News, press releases, or any public relation files maintained or issued by an agency. Includes print, electronic, audio, and audiovisual records.		5				R	Medium: Paper; Disposition: Recycle ARCHIVES NOTE: Contact the State Archives when these records have met their retention period.	
1-12	1.1.020	Public Information Requests	Includes all correspondence and documentation relating to requests for records that are furnished to the public under Public Information Act.	AC	2			AC=Date request fulfilled or date of notification that records are exempt.		Medium: Paper; Disposition: Shred Also see Database Series. Additional RSIN: 1.1.021	Chapter 552, Government Code
1-13	1.1.021	Public Information Requests- Excepted	Includes all correspondence and documentation relating to requests for records that are exempt under the Public Information Act (Chapter 552, Government Code)	AC	2			AC=Date of notification that the records are exempt		Record copy: General Counsel	Chapter 552, Government Code
1-14	1.1.026	Texas Register Submissions	Copies of all proposed, withdrawn, emergency, and adopted rules; open meeting 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		Medium: Electronic; Disposition: Delete	
1-15	1.1.027	Proposed Legislation	Drafts of proposed legislation and related correspondence	AV						Medium: Paper; Disposition: Recycle; Medium: Electronic; Disposition: Delete	
1-16	1.1.038	Customer Surveys	Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC	6			AC=Final disposition of summary report, or date of decision not to produce a report, as applicable.		Medium: Paper; Disposition: Shred See RSIN 1.1.067/AIN 1-30 for summary reports compiled from customer surveys.	



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1-17	1.1.024	Plans and Planning Records	Plans and records relating to the process of planning new or redefined programs, services or projects of an agency that are not included in or directly related to other records series in this schedule.	AC	3			AC=Decision made to implement or not to implement result of planning process	R	ARCHIVE NOTE: Data processing planning records are not archival.	
1-18	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 aides used in external training programs..	AC	1			AC=Close of training session, after training materials superseded, or termination of training program, as applicable.		Medium: Paper; Disposition: Recycle. See RSIN 3.3.030 for internal personnel training materials. CAUTION: Does not include hazardous material training records. See RSIN 5.4.007.	
1-19	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	6			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; original decision of a court (or of court on appeal, if applicable) in a lawsuit.	R	Medium: Paper; Disposition: Archives 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.	
1-20	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.	AC				AC=Report filed with the Texas Ethics Commission		Medium: Paper; Disposition: Shred	Government Code §2004.004



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1-21	1.1.055	Strategic Plans	Information resources and operational strategic plans prepared in accordance with Government Code §2054.095 and §2056.002	AC	6			AC=September 1, of odd-numbered calendar years.		Medium: Paper; Disposition: Permanent 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.	Government Code §2054.095 and §2056.002
1-22	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					Medium: Paper; Disposition: Shred	28 CFR 35.105(c).



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1-23	1.1.057	Transitory Information	Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; telephone message notifications; internal meeting notices; routing slips; transmittal correspondence that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC				AC=Purpose of record has been fulfilled.		CAUTION: Records Management Officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction signoffs (1.2.001) or in records disposition logs (1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (1.2.014).	



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1-24	1.1.058	Commission Meeting Agenda and Transcripts	Official agenda and minutes of state boards, committees, commissions, and councils that conduct open meetings as required by Government Code, Chapter 551.	PM					A	Medium: Paper; Disposition: Permanent Medium: Electronic; Disposition: Permanent Record Copy: Executive Office. ARCHIVES NOTE: Agency retains permanent record copy. The archival requirement will be met by sending a copy to the Archives and Information Services Division, Texas State Library and Archives Commission. CAUTION: This records series and item numbers 1.1.059, 1.1.060, 1.1.061, and 1.1.062 must be used for those state boards, committees, commissions, and councils, which by law or the biennial Appropriations Act, are administered by another state agency. These records and all others related to the functions of any of these dependent entities must be included in the records retention schedule of the administering agency.	Government Code 551.104(a)
1-25	1.1.059	Certified Agenda from Commission Meeting	Executive Sessions (Closed Meetings). Certified agendas or tape recordings of closed meetings of state boards, commissions, committees, and councils.	AC	2			AC=The date of the meeting or completion of pending action involving the meeting, whichever is later.		Medium: Paper; Disposition: Shred SEE Caution comment at item number 1.1.058.	Government Code §551.104(a)



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1-26	1.1.062	Meetings -Supporting Documentation	Documents submitted at meetings of commissions, committees and councils including exhibits items, documentation for agenda items,etc. Includes documents sent in advance of meetings for briefing purposes, some of which may not be submitted at an actual meeting.		2				A	Record Copy: Executive Office/Office of Public Communication. See caution comment at item number 1.1.058	
1-27	1.1.063	Staff Meeting Minutes and Notes	Minutes or notes, and supporting documentation taken at internal agency staff meetings.		3					Medium: Paper; Disposition: Shred	
1-28	1.1.065	Reports and Studies (Non-Fiscal) – Raw Data	Information or data collected and compiled for the purpose of producing non-fiscal reports.		6					Medium: Paper; Disposition: Recycle Medium: Electronic; Disposition: Delete CAUTION: Does not include source documentation used for information or data included in or directly related to another records series on the agency's approved schedule. See especially RSIN 1.1.064/AIN 2- 3.	



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					Years	Months	Days				
1-29	1.1.066	Annual Agency Reports (Narrative)	Annual reports to the governor and legislature as required by enabling statute.	PM						Medium: Paper; Disposition: Permanent ARCHIVES NOTE: Agency retains permanent record copy. The archival requirement is met by sending the required copies of the plans to the Texas State Publications Depository Program, Texas State Library and Archives Commission. Working files and related documentation used in creating final report may be disposed of at the expiration of the retention period.	Tex. Occ. Code §2023.061
1-30	1.1.067	Reports and Studies (Non-Fiscal)	Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects complied 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.	FE	3				R	Medium: Paper; Disposition: Archives Medium: Electronic; Disposition: Delete. 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.	



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1-31	1.1.070	Agency Rules, Policies, and Procedures – Final	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			AC=Until superseded, or termination of program, rules, policies, or procedures.	R	Medium: Paper; Disposition: Archives ARCHIVES NOTE: Working files and related documentation used in creating the final rules, policies, and procdures, are not subject to archival requirement and may be disposed of at the expiration of the retention period. See RSIN 5.1.014/AIN 1-48 for Departmental Policies/Procedures	
1-33	1.1.072	Public Information Reports	Reports made to the Office of Attorney General on agency’s Public Information Act activities.		2					Medium: Paper; Disposition: Shred	
1-34	1.1.073	Administrative Hearings	Transcripts, audio tapes and final decisions of hearings conducted as part of the regulatory process, and hearings on proposed rules and changes. The records may be maintained with related information including meeting notices, proofs of publication and meeting minutes.	AC	3			AC=Last action.	R	Medium: Paper; Disposition: Archives 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. CAUTION: These records may be maintained with related information, including meeting notices, proofs of publication, and meeting minutes, and require a longer retention period.	



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1-35	1.1.074	Sunset Review Report and Documentation	Sunset Review Report, agency self-study, and other correspondence and supporting documentation related to the Sunset review process for state agencies.	AC	3			AC=After the subsequent Sunset Review	R	Medium: Paper; Disposition:Archives ARCHIVES NOTE: Related documentation includes the agency self-evaluation report, agency response to the commission's draft report, and documentation of the agency's implementation of the commission's final recommendations.	
1-36	1.1.075	Alternative Dispute Resolutions	Final agreement per 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 part on the agency's behalf.	AC	4			AC=Date of final agreement.		Medium: Paper; Disposition: Shred	Texas Civil Practice and Remedies Code, Section 154.071.
1-37	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.		Medium: Paper; Disposition: Recycle	
1-39	1.2.005	Records Retention Schedule (SLR 105)	Agency copy. Includes documentation of certification and approval (SLR 105C) and/or other forms designated by the State Records Administrator.	US						Medium: Paper; Disposition: Recycle NOTE: Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission.	



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1-40	1.2.006	Records Transmittal Forms	Agency copy. Forms indicate records transferred to storage.	AC	2			AC=Date of authorization for destruction, permanent transfer from storage, or transfer to the Archives and Information Services Division, Texas State Library and Archives Commission by the agency records management officer.		Medium: Paper; Disposition: Recycle	
1-41	1.2.010	Records Disposition Logs	Logs or similar records listing destroyed or transferred to the Archives and Information Services Division, Texas State Library and Archives Commission, showing records series title, dates of records, and date destroyed or transferred.		10					Medium: Paper; Disposition: Recycle CAUTION: Disposition can mean destroyed or transferred.	
1-43	1.2.012	Records Inventories	Worksheets or working papers used to capt	US						Medium: Paper; Disposition: Recycle	
1-44	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.		Medium: Paper; Disposition: Recycle CAUTION: These records must carry the same retention period and archival code of the records they support.	
1-45	1.2.014	Records Management Plans	Records management plans and similar records that establish the policies and procedures under which records and information are managed in an agency.	US	1					Medium: Paper; Disposition: Recycle	
1-46	5.4.002	Disaster Preparedness and Recovery Plan/Evacuation Plan	Plans for evacuation of agency facilities in cases of emergency.	US						Medium: Paper; Disposition: Recycle	



STATE OF TEXAS
Records Retention Schedule

SLR 105
 Rev. 2021-07

Retention Codes (field 7)

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					Years	Months	Days				
1-47	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						Medium: Paper; Disposition: Shred	
1-48	5.1.014	Office Procedures	Any internally distributed manual, guidelines, or similar records that establish standard office procedures for an agency; for example, agency style manuals, telephone protocols, mail room procedures, print shop and photocopy ordering instructions.	US	1					Medium: Paper; Disposition: Shred Medium: Electronic; Disposition: Delete	
1-49	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 US Postal Service or by private couriers.		1					Medium: Paper; Disposition: Shred Also see Database Series.	
1-50	5.4.011	Visitor Control Records	Logs, registers, or similar records documenting visitors to limited access or restricted areas of agency facilities.	FE	3					Record Copy: Customer Service or Racetrack Field Office.	
1-51	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	Medium: Paper; Disposition: Archives. 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.	



STATE OF TEXAS
Records Retention Schedule

SLR 105
 Rev. 2021-07

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1-52	1.1.013	Calendars, Appointment and Itinerary Records	Maintained by staff during business hours and document appointments, itineraries and other activities of agency officials or employees.	CE	1				R	Medium: Paper; Disposition: Shred ARCHIVES NOTE: Only the calendars, appointment and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the State Archives when these records have met their retention periods. CAUTION: A record of this type purchased with personal funds, but used by a state official or employee to document his or her work activities may be a state record and subject to this retention period. See Open Records Decision 635 issued in December 1995 by the Attorney General.	
1-53	5.4.003	Safety, Drill and Inspection Records	Fire, safety, and 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= Inspection, or date of the correction of the deficiency if the inspection report reveals a deficiency.		Medium: Paper; Disposition: Shred AC = Date of drill, alarm, inspection, or date of the correction of deficiency, whichever applicable. CAUTION: Does not include inspection reports of building construction.	
1-55	5.4.012	Security Access Records	Records relating to the issuance of keys, ID cards, building passes, passwords, etc., relating to access to agency facilities, equipment, or automated systems.	AC	2			AC=Until superseded, date of expiration, or date of termination, whichever is sooner.		Medium: Electronic; Disposition: Delete	



STATE OF TEXAS
Records Retention Schedule

SLR 105
 Rev. 2021-07

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1-56	3.3.020	Work Schedules/Assignments	Work, duty, shift, crew, or case schedules, or assignments.	US	1					Medium: Paper; Disposition: Recycle Medium: Electronic; Disposition: Delete	
1-57	--	Racetrack; Regulatory Files	Includes ownership and financial statements.	PM						Medium: Paper; Disposition: Permanent Also see Database Series. May contain some confidential information; legal review before release.	
1-58	--	Contested Racetrack License Applications	Racetrack license applications where two applicants are competing for a racetrack within the same geographical location and supporting documentation including any contested hearing documentation.	AC	15			AC=Final order of Commission.		Medium: Paper; Disposition: Shred AC + 1, Storage 14 years. RETURN TO AGENCY. May contain some confidential information; legal review before release.	Tex. Occ. Code §§2025.051-2025.108
1-59	--	Uncontested Racetrack License Applications	Racetrack application of one applicant for a geographical location including any supporting application documentation.	AC	15			AC=Date the license is issued by the Commission, or the date the application is withdrawn by the applicant.		Medium: Paper; Disposition: Shred AC + 1, Storage 14 years. RETURN TO AGENCY. May contain some confidential information; legal review before release.	Tex. Occ. Code §§2025.051-2025.2025.108
1-60	--	Kennel Contracts	Contracts between kennel owners and greyhound race tracks that are submitted for review to ensure compliance.	CE	1					Medium: Paper; Disposition: Shred	
1-61	--	Training Track License Regulatory Files	Includes training facility applications and correspondence.	US	2					Medium: Paper; Disposition: Shred	
1-62	--	Racetrack Building Plans and Specifications	Blueprints and construction specifications for new racetrack facilities including public areas and private backside barns and agency facilities.	AC	1			AC=After completion of the project.		Medium: Paper; Disposition: Shred	16 Tex.Admin. Code §309.201, et seq.
1-63	4.1.009	Racetrack Automated Teller Machine (ATM) Records	Audit records including all transactions conducted at each machine placed by the association or vendor on association grounds.	FE	3					Medium: Paper; Disposition: Shred	16 Tex.Admin. Code §309.129



STATE OF TEXAS
Records Retention Schedule

SLR 105
 Rev. 2021-07

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1-64	1.3.001	State Publications	One copy of each state publication except a publication that is subject to a different retention period in this schedule. For example, a meeting agenda (see item number 1.1.058) also meets the definition of state publication, but it must be retained permanently; item numbers 1.1.004, 1.1.055, 1.1.066, 1.1.068, and 4.5.003 also can be state publications but are closely associated with the appropriations process and must be retained AC+6.	AC	2			AC=Until suspended or obsolete.		Record Copy: Executive Office CAUTION: Many state publications must be submitted to the Texas State Publications Depository Program, Texas State Library and Archives Commission, by law (Government Code 441.101-441.106). The Texas State Library and Archives Commission will retain a copy of all state publications submitted to it on a continuing basis, subject to periodic evaluation to determine if the publication merits further retention. For additional information and requirements concerning state publications made available to the public through the internet, consult the administrative rules of the Texas State Publication Depository Program of the Texas State Library and Archives Commission.	13 Tex. Admin. Code §§3.1-3.16



STATE OF TEXAS
Records Retention Schedule

SLR 105
 Rev. 2021-07

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1-65	1.3.002	Publication Development Files	Physical and digital development and design files used to create State Publications, including but not limited to background materials, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV					R	See RSIN 1.3.001 for final State Publications created from development files. ARCHIVES NOTE: Successive and substantive drafts of major publications may be archival. Major is defined by both the publication's authorship and its impact on Texas and Texans. Original artwork, including photo prints and negatives that have significant value as evidence of agency programs as well as the potential for re-use, may be archival.	
2-1	1.1.004	Legislative Appropriations Requests	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.		Medium: Paper; Disposition: Shred 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.	
2-2	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.		Medium: Paper; Disposition: Shred Medium: Electronic; Disposition: Delete SEE RSIN 1.1.064 for documentation used to produce reports on agency performance measures.	



STATE OF TEXAS
Records Retention Schedule

SLR 105
 Rev. 2021-07

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					Years	Months	Days				
2-3	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					Medium: Paper; Disposition: Recycle See RSIN 1.1.068 for reports on agency performance measures. CAUTION: The FE + 3 retention period overrides any shorter retention period for a records series in this schedule if the records series is needed for documentation of agency performance measures.	
2-5	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					Medium: Paper; Disposition: Shred Medium: Electronic; Disposition: Delete CAUTION: This series does not include fiscal reports created to fulfill grant requirements.	



STATE OF TEXAS
Records Retention Schedule

SLR 105
 Rev. 2021-07

Retention Codes (field 7)

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					Years	Months	Days				
2-6	4.5.003	Annual Financial Report	Financial Reports (AFR) required by the General Appropriations Act (100 Day Report).	AC	6			AC=September 1 of odd-numbered calendar years.		Medium: Paper; Disposition: Recycle Medium: Electronic; Disposition: Delete ARCHIVES NOTE: The final version of Annual Financial Reports must be submitted to the Texas State Publications Depository Program per 13 TAC 3.3(a)(2)(a). Working files and related documentation used in creating the final plan are not subject to archival review and may be disposed of at the expiration of the retention period. CAUTION: If an agency does not produce a biennial or annual narrative report as described in RSIN 1.1.066, then these annual financial reports must be marked with Archival Code A. The archival requirement, when a biennial or annual narrative report is not produced, is met by sending the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission.	
2-8	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					Medium: Paper; Disposition: Recycle Medium: Electronic; Disposition: Delete	



STATE OF TEXAS
Records Retention Schedule

SLR 105
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2-11	4.5.007	USAS Reports	Periodic and annual reports compiled from information entered into the Uniform Statewide Accounting System (USAS). Includes General Ledger information and all financial reporting.	FE	3			Periodic are AC = Receipt and reconciliation of annual report. Annual reports are FE 3.		Medium: Electronic; Disposition: Delete Additional RSIN: 4.5.009	
2-12	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.		Medium: Paper; Disposition: Shred Medium: Electronic; Disposition: Delete The State Auditor's Office retains any copies of its audits performed on Texas state agencies.	
2-13	--	Fiscal Notes	Reports provided to Legislative Budget Board for legislative bills.		10					Medium: Paper; Disposition: Shred Medium: Electronic; Disposition: Delete	
2-14	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					Medium: Paper; Disposition: Shred	



STATE OF TEXAS
Records Retention Schedule

SLR 105
 Rev. 2021-07

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2-15	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						
2-17	4.9.001	Transfers or Budget Revisions	Transfers or adjustments to budgets.	FE	3					Medium: Paper; Disposition: Recycle	
2-20	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					Medium: Paper; Disposition: Shred	
2-25	4.9.001	Annual Operating Budgets, Encumbrance Vouchers, Budget Transfers/Revisions.	Required by the General Appropriations Act. Includes encumbrances and documentation about budget transfers and revisions, as well as detail charts of accounts.	FE	3					Medium: Paper; Disposition: Recycle	
2-26	4.1.001	Expenditures/Purchase Vouchers	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					Medium: Paper; Disposition: Shred Medium: Electronic; Disposition: Delete	



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2-30	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					Medium: Electronic; Disposition: Delete	
2-31	4.7.003	Uncollectible Accounts, Returned Checks/Warrants/Drafts	Records of accounts deemed uncollectible, including write-off authorizations and returned checks, warrants, and drafts.	AC	3			AC=Date Account deemed uncollectable.		Medium: Paper; Disposition: Shred	
2-32	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					Medium: Paper; Disposition: Recycle	
2-34	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.		Medium: Paper; Disposition: Shred	



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2-35(a)	5.1.001a	Contracts and Leases	Contracts, leases, and agreements executed, renewed or amended on or after Sept 1, 2015. Includes general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. Contracts between racetrack associations and banking institutions for ATM machines on racetrack grounds.	AC	7			AC=Expiration or termination of the contract according to its terms.		Medium: Paper; Disposition: Shred See related AIN 2-52, RSIN 5.3.007 for Bid Documentation.	Government Code, 441.1855
2-35(b)	5.1.001b	Contracts and Leases	Contracts, leases, and agreements executed, renewed or amended on or before Aug 31, 2015. Includes general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence.	AC	4			AC=Expiration or termination of the contract according to its terms.		Medium: Paper; Disposition: Shred See related AIN 2-52(a), RSIN 5.3.007 for Bid Documentation.	Government Code, 441.1855
2-36	5.1.005	Postage Records	Records and reports of postage expenses, including postal meter usage.	FE	3					Medium: Electronic; Disposition: Delete	
2-38	5.1.017	Contract Log	List of agency contracts, leases, and agreements including general obligation, land lease, utilities, and construction contracts.	FE	3					Medium: Electronic; Disposition: Delete	
2-39	5.2.006	Property Destruction, Certificates of		FE	3					Medium: Paper; Disposition: Recycle	



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2-40	5.2.008	Equipment Service Agreements; Equipment History File (non- computer)	Agreements or contracts between the agency and equipment vendor to provide maintenance service for equipment. Includes requests for installation, moves, service, etc.; and service/repair logbooks, etc.	LA	3					Medium: Paper; Disposition: Recycle For service agreements or contracts related to equipment repairs and service, retain in accordance with RSIN 5.1.001a/b.	
2-43	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. Property, equipment, and supply verification.	FE	3					Medium: Paper; Disposition: Recycle Medium: Electronic; Disposition: Delete ☐ See RSIN 5.2.008 for the maintenance logs of individual pieces of equipment.	
2-48	5.2.006	Year-to-Date Activity (Inventory Listing)	Shows additions, changes, transfers, and deletions of information within the inventory system. Data include agency, division, tag number, batch, document, transaction date, location, item code, description, date, and cost. Also includes Certificates of Property Destruction, Lost and Stolen Property Reports, and Surplus Property Sale Reports.	FE	3					Medium: Paper; Disposition: Recycle Medium: Electronic; Disposition: Delete Additional RSINs: 5.2.017, 5.2.021, 5.2.023	
2-52(a)	5.3.007(a)	Bid Documentation – 9/1/2015 and After	Associated with a contract executed, renewed or amended on or after Sept 1, 2015. Includes requisition/authorizations, invitations to bid or propose, bid specifications, accepted and rejected bids, and bid tabulation/evaluations.	AC	7			AC=Expiration or termination of the contract according to its terms or decision not to proceed with the bid.		Medium: Paper; Disposition: Shred CAUTION: If a formal written contract is the result of a successful bid or request for proposal, the successful bid or request for proposal and its supporting documentation must be retained for the same period as the contract.	Government Code, 441.1855.



STATE OF TEXAS
Records Retention Schedule

SLR 105
 Rev. 2021-07

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					Years	Months	Days				
2-52(b)	5.3.007(b)	Bid Documentation – 8/31/2015 and Prior	Associated with a a contract executed, renewed, or amended on or before Aug 31, 2015. Includes requisition/authorizations, invitations to bid or propose, bid specifications, accepted and rejected bids, and bid tabulation/evaluations.	AC	4			AC=Expiration or termination of the contract according to its terms.		Medium: Paper; Disposition: Shred CAUTION: If a formal written contract is the result of a successful bid or request for proposal, the successful bid or request for proposal and its supporting documentation must be retained for the same period as the contract.	Government Code 441.1855.
2-53	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					Medium: Electronic; Disposition: Delete	
2-54	5.3.009	Requests for Information	Requests for information preliminary to the procurement of goods of services by direct purchase or bid.	AC				AC=AC = Decision not to proceed with the procurement.		Medium: Electronic; Disposition: Delete See RSIN 1.1.020 and 1.1.021 for public information requests. CAUTION: If the request for information leads to request for proposal or bid, the request for information documentation should be retained in accordance with RSIN 5.3.007a/b/c.	
3-1	3.1.001	Applications for Employment – Not Hired	Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.	AC	2			AC = Date of the making of the record		Medium: Paper; Disposition: Shred CAUTION: Does not include ADA Accommodation Requests. See RSIN 3.1.042.	29 CFR 1602.31



STATE OF TEXAS
Records Retention Schedule

SLR 105
 Rev. 2021-07

Retention Codes (field 7)

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3-2	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.		Medium: Paper; Disposition: Shred	
3-3	3.1.006	Employee Counseling Records	Notes, memoranda, or reports relating to the counseling of an employee for workrelated, personal, or substance abuse problems.	AC	5			AC=Termination of employment.		Medium: Paper; Disposition: Shred	
3-4	3.1.011	Employee Benefits/Insurance	Agency copies of information relating to the selection by employees of life, disability, health, and other types of benefits/insurance offered by the State of Texas to its employees	AC				AC=Until superseded or termination of employment.		Record Copy: Human Resources. CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item number 3.2.001.	
3-6	3.1.014	Employment Selection Records	Includes job posting, records of recruitment and advertising, selection criteria, interview questions, and all other records that document the hiring process.	AC	2			AC = Date of the making of the record or the personnel action involved, whichever occurs later.		Medium: Paper; Disposition: Shred CAUTION: Does not include criminal history checks; see RSIN 3.1.026. Does not include drug screening test results; see RSIN 3.1.040a/b/c. Does not include pre-employments skills tests; see RSIN 3.3.027 and 3.3.028.	29 CFR 1602.31
3-7	3.1.019	Performance Appraisals	Job evaluations, performance appraisals, or	AC	5			AC=Termination of employment.		Medium: Paper; Disposition: Shred	29 CFR 1620.32(c).



STATE OF TEXAS
Records Retention Schedule

SLR 105
 Rev. 2021-07

Retention Codes (field 7)

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3-8	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.		Medium: Paper; Disposition: Shred CAUTION: If, during the retention period of this records series, any part of this series is used to document and support personnel disciplinary action under RSIN 3.1.021, all documentation from this series used to support disciplinary action must be retained for the minimum retention period described by RSIN 3.1.021.	
3-9	3.1.021	Personnel Disciplinary Action	Actions which may affect pay, status, or tenure. 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.		Medium: Paper; Disposition: Shred	
3-10	3.1.022	Personnel Information or Action Forms	Forms or similar records used to create or change information concerning records of an employee including pay grade, position classification, employee number, evaluation date, and termination of employment.	AC	5			AC=Termination of employment.		Medium: Paper; Disposition: Shred	29 CFR 1602.31
3-11	3.4.002	Leave Status Reports	Cumulative report is issued each pay cycle and provides employee leave status information for each position.	FE	3					Medium: Paper; Disposition: Shred Medium: Electronic; Disposition: Delete	
3-12	3.4.006	Time Sheets 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.	FE	4					Medium: Paper; Disposition: Shred	40 TAC 815.106(i)



STATE OF TEXAS
Records Retention Schedule

SLR 105
 Rev. 2021-07

Retention Codes (field 7)
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3-13	5.4.001	Accident Reports and Associated Documentation	Accident or occupational disease reports (by supervisors and employees) and other associated reports required to be submitted to the Texas Department of Insurance or its predecessors or maintained internally on accident frequency.	CE	5					Medium: Paper; Disposition: Shred The Texas Department of Insurance retains copies of the reports submitted to it for 50 years.	29 CFR 1904.33; 28 TAC 120.1(c).
3-14	3.2.003	Federal Tax Records	Includes 1099, W2, FICA, and other tax records.	AC	4			AC=Tax due date, date the claim is filed, or date tax is paid, whichever is later.		Medium: Paper; Disposition: Shred	26 CFR 31.6001-1(e)(2).
3-15	3.1.023	Position/Job Descriptions	Job descriptions, including all associated task or skill statements, for positions in agency.	AC	4			AC=Until superseded or job eliminated.		Medium: Paper; Disposition: Recycle Medium: Electronic; Disposition: Delete	40 TAC 815.106(i).
3-17	3.1.018	Employee Grievance Records	Records relating to the review of employee grievances against personnel policies, working conditions, etc.	AC	2			AC=Final decision on the grievance.		Medium: Paper; Disposition: Shred CAUTION: Does not include formal complaints filed by an agency employee with the Equal Employment Office (EEO) of the US Department of Labor. See RSIN 1.1.048/AIN 1-19.	
3-18	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 (workers compensation, FMLA, ADA, etc.)	AC	5			AC=Until superseded or termination of employment.		Medium: Paper; Disposition: Shred CAUTION: Does not include pre-employment physical examinations. See RSIN 3.1.014. Does not include medical or physical examinations for employees exposed to hazardous materials. See RSIN 5.4.016a/b.	



STATE OF TEXAS
Records Retention Schedule

SLR 105
 Rev. 2021-07

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3-19	3.1.027	Training and Educational Achievement Records (Individual)	Certificates of completion, transcripts, or similar records documenting training, testing, or continuing education achievements of an employee.	AC	5			AC=Termination of employment.		Medium: Paper; Disposition: Shred	
3-20	3.1.029	Employment Eligibility, Documentation or Verification	Federal reporting form (INS I-9).	AC	5			AC=Termination of employment.		Medium: Paper; Disposition: Shred	8 CFR 274a.2(b)(2)(i)(A) and (c)(2).
3-21	3.4.007	Time Off &/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, 661.152(d); 29 CFR 825.500(b)
3-22	3.1.037	Employment Recognition Records	Awards, incentives, tenure, etc.	AC	5			AC=Termination of employment.		Medium: Paper; Disposition: Shred	
3-23	3.1.038	Public Access Option Form	Form completed and signed by an 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						Medium: Paper; Disposition: Shred See RSIN 3.3.011/AIN 3-32. CAUTION: Most recent public access election information must be kept as long as the former employee verification records. See RSIN 3.3.011.	
3-24	3.2.001	Employee Deduction Authorizations	Documents used to start, modify, or stop all voluntary or required deductions from payroll.	AC	5			AC=Termination of employment.		Medium: Paper; Disposition: Shred	
3-25	3.2.004	Income Adjustment Authorizations	Increases or decreases to employees' gross pay, FICA, retirement, or in the computation of taxes.	AC	5			AC=Until superseded or termination of employment.		Medium: Paper; Disposition: Shred	29 CFR 516.6(c).
3-26	3.2.005	W-4 Forms	Employer's copy of "Employee's Withholdin	AC	5			AC=Until superseded or termination of employment.		Medium: Paper; Disposition: Shred	26 CFR 31.6001-1(e)(2)



STATE OF TEXAS
Records Retention Schedule

SLR 105
 Rev. 2021-07

Retention Codes (field 7)

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3-27	3.2.007	Unemployment Compensation Records	Records and documentation relating to unemployment compensation claims, including reimbursement of funds disbursed by the Texas Workforce Commission (TWC).	AC	5			AC=Resolution of claim.		Medium: Paper; Disposition: Shred	
3-28	3.2.008	Direct Deposit Application/Authorizations	Forms used to deposit employee's earnings to a specified personal account.	US						Medium: Paper; Disposition: Shred	
3-29	3.2.009	State Deferred Compensation Records	Records documenting the amount of pension or deferred compensation earned by individual employees.	AC	5			AC=Termination of employment or retirement.		Medium: Paper; Disposition: Shred	
3-31	3.3.010	Labor Statistics Reports	Reports involving statistical information on labor force.		3					Medium: Electronic; Disposition: Delete	
3-32	3.3.011	Former Employee Verification Records	Minimum information needed to verify employment, includes name, social security number, exact dates of employment, last known address and most recent public access option form.	AC	75			AC=Termination of Employment		Medium: Electronic; Disposition: Delete See RSIN 3.1.038/AIN 3-23.	
3-35	3.3.022	Texas Workforce Commission (TWC) Reports	Reports to the agency from TWC or its predecessor pertaining to employees.		3					Medium: Paper; Disposition: Shred	
3-37	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					Medium: Paper; Disposition: Recycle Medium: Electronic; Disposition: Delete	
3-39	3.3.026	Agency Staffing Reports	Any reports compiled by an agency on aspects of personnel staffing.	US	3					Medium: Electronic; Disposition: Delete	



STATE OF TEXAS
Records Retention Schedule

SLR 105
 Rev. 2021-07

Retention Codes (field 7)

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3-40	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.		Medium: Paper; Disposition: Shred See RSIN 1.1.043 for external training records. See RSIN 3.1.027 for individual employee training records. CAUTION: Does not include hazardous material training records. See RSIN 5.4.007.	
3-41	3.3.031	EEO Reports and Supporting Documentation	Includes documentation used to complete EEO (Equal Employment Opportunity) reports.		3					Medium: Electronic; Disposition: Delete	29 CFR 1602.32, 1602.48 and 1602.50
3-42	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.		3					Medium: Electronic; Disposition: Delete	29 CFR 1620.32(c).
3-43	3.2.002	Employee Earning Records	Payroll records and registers documenting empl		4					Medium: Paper; Disposition: Shred	40 TAC 815.106(i)
4-1	2.1.002	Master Files and Application Data	Relatively long-lived computer files containing organized and consistent sets of complete and accurate electronic records. 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 requires 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 a record series listed elsewhere.	



STATE OF TEXAS
Records Retention Schedule

SLR 105
 Rev. 2021-07

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4-2	2.1.007	Software Programs - Database Forms and Reports Source Code	Agency developed forms and source code for its database.	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.		Medium: Electronic; Disposition: Delete 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
4-3	2.1.008	Hardware Documentation	Records documenting operational and maintenance requirements of computer hardware such as operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems.	AC				AC=Until electronic records are transferred to and made usable in a new hardware environment or there are no electronic records being retained to meet an approved retention period that require the hardware to be retrieved and read.		CAUTION: Hardware needed for access to electronic records must be retained for the period of time required to access the records.	13 Tex. Admin. Code §6.94
4-5	5.2.008	Computer Warranties/License Agreements	Agreements or contracts between the agency and equipment software vendor to provide maintenance service for equipment and right-to-use agreements.	AC	7			AC=Expiration or term of contract.		Medium: Paper; Disposition: Recycle For service agreements or contracts related to equipment repairs and service, retain in accordance with ITIN 5.1.001 (TRC RRS AIN 2-35; Contracts AC + 7)	
4-9	5.2.008	Hardware Repair Log	Equipment history file, which may include logbooks and requests for installation, moves, service, repair, etc.	LA	3					Medium: Paper; Disposition: Recycle For service agreements or contracts related to equipment repairs and service, retain in accordance with RSIN 5.1.001a/b.	



STATE OF TEXAS
Records Retention Schedule

SLR 105
 Rev. 2021-07

Retention Codes (field 7)

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4-12	2.1.009	Technical Documentation (IS Procedures Manual)	Includes installation and configuration information.	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 software to be retrieved and read.		Medium: Paper; Disposition: Shred Medium: Electronic; Disposition: Delete CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records. Additional RSIN: 2.1.008	13 Tex. Admin. Code §6.94
4-13	--	Portal Balancing Records	Records of revenue reconciliations and balances from the Texas.gov portal licensing.	FE	3					Medium: Paper; Disposition: Shred	
4-14	4.7.004	Capital Asset Records, Budget Plans, Purchases, and Maintenance Contract Documents	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					Record Copy: Financial Services. Medium: Paper; Disposition: Recycle Medium: Electronic; Disposition: Delete	
5-4	--	Disciplinary Files of Licenses	Maintained in field offices. Includes documentation for hearings involving licensees that are conducted by stewards and judges including, but not limited to, rulings involving disqualifications, license sanctions and fines.	AC	2			AC=After Closed or Settled.		Medium: Paper; Disposition: Shred May contain some confidential information; legal review before release.	
5-5	--	Test Examinations of Stewards and Judges	Includes eye exams and written exams to ensure competency of job racing official responsibilities.	CE	1					Medium: Paper; Disposition: Shred	



STATE OF TEXAS
Records Retention Schedule

SLR 105
 Rev. 2021-07

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5-8	--	Stewards'/Judges' Daily Race Reports	Includes comments regarding races/performances, end of meet reports, as well as wagering handle, weather and track conditions, etc. Also includes Race Program with Stewards' Order of Finish.	CE	3					Medium: Paper; Disposition: Shred Also see Database Series.	
5-11	--	Official Works	Documentation of horse performance runs prior to participating in a recognized race.		1					Medium: Paper; Disposition: Recycle	
5-12	--	Condition Books	Racetrack association entry requirements for each race day card, including but not limited to, the type of race (for example, whether a stakes, maiden or claiming race), type of racehorse (filly, stallion, gelding) and type of breed (Thoroughbred or Quarter Horse).	AC	1			AC=Last day of races covered by the condition book		Medium: Paper; Disposition: Recycle	
5-13	--	Agency Prosecutions and Appeals from Stewards'/Judges' Rulings	Appeals from Stewards hearings, including Steward hearing transcripts or audios and all exhibits entered into the Stewards hearings for review by SOAH on appeal.	AC	2			AC=After all appeals are exhausted.		Medium: Paper; Disposition: Shred May contain some confidential information; legal review before release.	
5-15	--	Trainers' Responsibility Form	Maintained in field offices signed by trainers who designated a representative for witnessing of specimen sample collection.	AC				AC=End of race meet.		Medium: Paper; Disposition: Shred	
5-18	--	Apprentice Jockey Certificate	Health certificates, examinations (starting gate proficiency) and supporting documentation to obtain an apprentice jockey license.		5					Medium: Paper; Disposition: Shred	
5-20	--	Incident Reports	Maintained in field offices. Reports submitted to the stewards'/judges' office from racetrack security for information purposes only.	CE	1					Medium: Paper; Disposition: Shred	



STATE OF TEXAS
Records Retention Schedule

SLR 105
 Rev. 2021-07

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6-2	--	Active Occupational Licensing Files	Applications for active licensees and supporting documentation and renewal applications.	US	2					Medium: Paper; Disposition: Shred US=Until superseded by another license application. May contain some confidential information; legal review before release.	
6-2(a)	--	Inactive Occupational Licensing Files	Applications for inactive licensees and renewal applications	AC	2			AC=License expiration date.		Medium: Paper; Disposition: Shred	
6-3	--	Tests – Passed: Other Licensing Types	Includes practical and written tests for jockey, jockey agent, and pony exercise rider.	AC	2			AC=License expiration date.		Medium: Paper; Disposition: Shred	Texas Government Code 552.112.
6-3(a)	--	Tests – Passed: Trainer- Type Tests	Includes practical and written tests for trainer.		1					Medium: Paper; Disposition: Shred	Texas Government Code 552.112.
6-4	--	Tests – Failed: Other Licensing Types	Includes practical and written tests for jockey, jockey agent, and pony exercise rider.		1					Medium: Paper; Disposition: Shred Also see Database Series.	
6-4(a)	--	Tests – Failed: Trainer Type	Includes practical and written tests for trainer.		1					Medium: Paper; Disposition: Shred	
6-5	--	Daily Licensing Revenue Reconciliation	Licensing revenue reconciliation reports from each field office that reconciles revenue received for license fees for each day.	FE	3					Medium: Paper; Disposition: Shred	
6-7	--	Daily License Revenue Reports	Licensing revenue reports for each field office that reflects the daily revenue received in licensing fees for each field office.		1					Medium: Paper; Disposition: Shred	



STATE OF TEXAS
Records Retention Schedule

SLR 105
 Rev. 2021-07

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7-1	--	Pari-Mutuel Wagering Correspondence and Approvals	Correspondence between the agency and racetrack associations for approval or disapproval of import and export simulcast signals requests that are approved or disapproved by the Executive Director and supporting documentation including simulcast contracts, simulcast approvals by horsemen representatives and simulcast request to agency from racetrack associations	CE	5					Medium: Paper; Disposition: Shred	
7-2	--	Auditor Log	Logs reflecting totalisator system testing pass/fails, pari-mutuel wagering compliance and integrity audits of totalisator equipment.	CE	1					Medium: Paper; Disposition: Recycle	
7-4	--	Totalisator Computer System (Tote) Test Work Papers and Results	Tests and data computations completed and instituted to test the integrity of pari-mutuel wagering equipment, software updates and software installations.	CE	1					Medium: Paper; Disposition: Shred	Public Information Act, Section 552.116.
7-5	--	Texas Bred Incentive Fund Reports and Escrow Horse Account	Includes reports and correspondence.	CE	7					Medium: Paper; Disposition: Shred	
7-6(b)	--	Export Simulcast Contract Form	Contracts between race tracks that are submitted for review to ensure compliance.	CE	2					Medium: Paper; Disposition: Shred	
7-7	--	Pari-Mutuel Cumulative Liability Reports for Manually Entered Wagering Data	Testing and data computation for manual entry of pari-mutuel wagering information manually entered at each racetrack.	CE	1					Medium: Paper; Disposition: Recycle	
7-8	--	Order of Finish Reports	Stewards final order of finish for each race.			6				Medium: Paper; Disposition: Recycle	
7-12(a)	--	Pari-Mutuel Wagering Information Reports	TXRC Weekly Handle Reports from each racetrack.			6				Medium: Electronic; Disposition: Delete	



STATE OF TEXAS
Records Retention Schedule

SLR 105
 Rev. 2021-07

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					Years	Months	Days				
7-12(c)	--	Pari-Mutuel Wagering Information Reports	Racetrack Daily Mutuel Reports	CE	1					Medium: Paper; Disposition: Recycle	
7-12(d)	--	Pari-Mutuel Wagering Information Reports	Racetrack Monthly Mutuel Recap Reports	CE	2					Medium: Paper; Disposition: Recycle	
7-14	1.1.002	Audit Work Papers	Includes Purse Account Bank Statements, tote, wagering and daily handle reporting documentation	AC	7			AC=Publication or release of final audit findings.		Medium: Paper; Disposition: Shred May contain some confidential information; legal review before release.	Public Information Act, Section 552.116.
7-15	--	Wire In Transfer Report	Funds reporting from the horsemen's bookkeeper accounts for the claim of a horse in a race and other funds information including trainers' records in the bookkeepers' accounts	CE	1					Medium: Paper; Disposition: Recycle	
7-18	--	Tote Data Load Form	File transfer protocol data for wagering information from import and export simulcasts.	FE	2					Medium: Paper; Disposition: Recycle	
7-20	--	Tote Incident/Failure to Merge Reports	File transfer protocol data incidents and failures to merge wagering data from host and receiving simulcast signal sites.	CE	1					Medium: Paper; Disposition: Shred	
7-21	--	Claims for Payment	Claims received from patrons requesting payment for lost or stolen ticket(s) or voucher(s).	CE	1					Medium: Paper; Disposition: Shred	
8-1	--	Daily Test Barn Packets (maintained in field offices)	Chain of custody records for horse specimen samples including the test barn entry log, licensee(s) in the test barn daily, witness to specimen sample collections, test barn sample numbers assigned to each race participant tested.	CE	1					Medium: Paper; Disposition: Recycle CAUTION: If information contained in these records becomes the subject of litigation, it must be included in and is subject to the minimum retention period of AIN 1-19, RSIN 1.1.048: AC +6, Archival Review	
8-10	--	Laboratory Bills for Drug Testing and Supplies	Includes the Texas A&M Veterinary Medical Diagnostic Laboratory (TVMDL) post race and vet work samples.	AC	1			AC=Settled.		Medium: Electronic; Disposition: Delete	



STATE OF TEXAS
Records Retention Schedule

SLR 105
 Rev. 2021-07

Retention Codes (field 7)

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8-11	--	Race Animal Injury Analysis Reports	Includes analysis of injury data collected from catastrophic injury reports, necropsy reports, and other data.	AV						Medium: Electronic; Disposition: Delete	
8-12	--	Certificate of Bleeding Forms (maintained in field offices)	Forms completed by the veterinarian or technician collecting blood specimen samples from each race horse.	CE	1					Medium: Paper; Disposition: Recycle	
8-13	--	Catastrophic Injury Reports (Originals maintained in field offices)	Forms completed by the veterinarian who examines or euthanizes a race animal injured in a race or training exercise on a racetrack.	CE	10					Medium: Paper; Disposition: Permanent	
8-25	--	Shipping Seal Log (maintained in field offices)	Part of the Chain of Custody record in the daily racing package that evidences the shipping record of specimen samples to the Texas A&M Veterinary Medical Diagnostic Laboratory (TVMDL).	CE	1					Medium: Paper; Disposition: Recycle CAUTION: If information contained in these records becomes the subject of litigation, it must be included in and is subject to the minimum retention period of AIN 1-19, RSIN 1.1.048: AC +6, Archival Review	
8-30	--	Texas A&M Veterinary Medical Diagnostic Laboratory (TVMDL) Necropsy Reports	Fatality and autopsy reports of equine suffering fatal breakdowns in live racing or training exercises on racetracks.	CE	10					Medium: Electronic; Disposition: Delete	
8-31	--	Reconciliation Tracking Reports and Billing Logs	Includes TVMDL and University of California, Davis (UC Davis) billing records and specimen tracking reports for testing of specimens for prohibited and therapeutic substances.	AV						Medium: Electronic; Disposition: Delete	
9-2	--	Intelligence Reports	Reports received from 3rd party law enforcement agencies and security details from racetracks outside the state of Texas.	PM						Medium: Paper; Disposition: Permanent Also see Database Series. Criminal histories are confidential.	



STATE OF TEXAS
Records Retention Schedule

SLR 105
 Rev. 2021-07

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9-3	--	Investigatory Files Involving Criminal Histories or Human Drug Testing	Per the Investigatory Case Code List, this AIN applies to the following case codes: Criminal Histories: 39, 62, 63, 67, 68 Human Drug Testing: 20-29	AC	15			AC=Final disposition of disciplinary action.		Medium: Paper; Disposition: Shred Also see Database Series. Criminal histories are confidential.	
9-4	--	Investigatory Files Not Involving Criminal Histories or Human Drug Testing	Per the Investigatory Case Code List, this AIN applies to the following case codes: 1,3,9-19,30-38, 40-46, 51,59-60, 64, 77	AC	2			AC=Final disposition of disciplinary action.		Medium: Paper; Disposition: Shred Also see Database Series. Closed files may contain confidential information; legal review before release.	
9-5	--	Intelligence Information	License Expired with Serious Criminal History (LX) Pending Criminal Charges (PC) Criminal History (CH)	AV						Medium: Paper; Disposition: Shred Also see Database Series 10-15(b) Criminal histories are confidential.	
9-6	--	Law Enforcement Agency Files	Records maintained by 3rd party law enforcement agencies outside the State of Texas including DOJ and FBI confidential investigatory records.	AV						Medium: Paper; Disposition: Shred Medium: Electronic; Disposition: Delete	
9-11	--	Peace Officer Accreditation Files	Records required to be maintained by Texas Commission of Law Enforcement Officers including weapons proficiency testing, medical and psychological records.	AC	5			AC = End of Employment		Medium: Paper; Disposition: Shred Medium: Electronic; Disposition: Delete	
9-12	--	Enforcement Search Files	Inspections to restricted areas, including gate, barn, kennel, jockey quarters, etc.		2					Medium: Electronic; Disposition: Delete	
9-14	--	Racetrack Background Investigation Files	Background investigation records of individuals who hold a pecuniary ownership interest in a racetrack.	PM						Medium: Paper; Disposition: Shred; Medium: Electronic; Disposition: Delete Open investigatory files are confidential. Closed files may contain confidential information; legal review before release.	Tex. Occ. Code Chapter 2025.



STATE OF TEXAS
Records Retention Schedule

SLR 105
 Rev. 2021-07

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9-15	3.1.026	Criminal History Checks	Criminal history record information on job applicants or agency employees obtained from the Department of Public Safety.	AC				AC = The criminal history record has served the immediate purpose for which it was obtained.		Medium: Paper; Disposition: Shred 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.	
9-16	--	Positive Test Sample Report	Results from lab samples testing positive.	CE	1					Medium: Paper; Disposition: Recycle Also see Database Series.	
10-4	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						Medium: Database; Disposition: Delete See RSIN 4.1.001 for telephone bills.	
10-6	--	Handle-Export	Handle records for exported races	CE	6					Medium: Database; Disposition: Delete	
10-7	--	Wager Details – Live, Simulcast, and Cross Species	Detailed wager reports including types of wagers (Trifecta, special), import or export simulcast wagers and cross-species amounts including wager amounts allocated from greyhound to horse and horse to greyhound	CE	1					Medium: Database; Disposition: Delete	
10-7(a)	--	Handle Distributions	Handle Distributions are summed annually.	CE	6					Medium: Database; Disposition: Delete	
10-7(b)	--	Payouts	Payout Distributions on live, simulcast, and export wagers	CE	1					Medium: Database; Disposition: Delete	



STATE OF TEXAS
Records Retention Schedule

SLR 105
 Rev. 2021-07

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10-9	--	Purses	Purses are summed annually.	CE	6					Medium: Database; Disposition: Delete	
10-10	--	Galley	Greyhound race entries.	CE	5					Medium: Database; Disposition: Delete	
10-11	--	Overnight	Horse race entries.	CE	15					Medium: Database; Disposition: Delete	
10-13	--	Simulcast Contracts	Contracts between race tracks sending and receiving simulcast signals.	CE	5					Medium: Database; Disposition: Delete	
10-14	--	Cases	Refer to agency item 9-3. Per the Investigatory Case Code List, this AIN applies to the following case codes: Criminal Histories: 39, 62, 63, 67, 68 Human Drug Testing: 20-29	AC	15			AC=Final disposition of disciplinary action.		Medium: Database; Disposition: Delete	
10-14(a)	--	Cases	Refer to agency item 9-4. Per the Investigatory Case Code List, this AIN applies to the following case codes: 1, 3, 9-19, 30-38, 40-46, 51, 59-60, 64, 77	AC	2			AC=Final disposition of disciplinary action.		Medium: Database; Disposition: Delete	
10-15(a)	--	Intelligence Cases	Does not include the following intel cases: License Expired with Serious Criminal History (LX) Pending Criminal Charges (PC) Criminal History (CH) See AIN 10-15(b)		15					Medium: Database; Disposition: Delete	
10-15(b)	--	Intelligency Cases-LX/PC/CH	License Expired with Serious Criminal History (LX) Pending Criminal Charges (PC) Criminal History (CH) Refer to Agency Item 9-5.		5					Medium: Database; Disposition: Delete	
10-18	--	Service Requests	Inter-agency IT requests from the agency to DIR for service help on phones and computer equipment/software.	AV						Medium: Database; Disposition: Delete	
10-19	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						Medium: Database; Disposition: Delete	



STATE OF TEXAS
Records Retention Schedule

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 Rev. 2021-07

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10-20	--	Photos	Includes photo files used to issue badges.	US						Medium: Database; Disposition: Permanent	
10-21	--	Businesses	Includes occupational licensee information.	PM						Medium: Database; Disposition: Permanent May contain some confidential information; legal review before release.	
10-22	--	Licenses	Includes occupational licensee information.	PM						Medium: Database; Disposition: Permanent May contain some confidential information; legal review before release.	
10-23	--	Licenses	Includes occupational licensee information.	PM						Medium: Database; Disposition: Permanent May contain some confidential information; legal review before release.	
10-25	--	Spouses	Records include non-occupational licensee information on spouses of owner licensees.	PM						Medium: Database; Disposition: Permanent May contain some confidential information; legal review before release.	
10-26	--	Licensing Tests	Trainer licensing written and practical examination records including, but not limited to, the trainer study guide, licensing written examination questions and practical veterinary and steward examination questions for trainers' exams.	AC			90	AC=Date of test.		Medium: Database; Disposition: Delete	
10-27	--	Portal Applications	Online applications submitted by licensees to request or renew license.	AC	2			AC=Expiration of license.		Medium: Database; Disposition: Delete	
10-28	--	Rulings	Judges'/Stewards' decisions on administrative hearings.	PM						Medium: Database; Disposition: Permanent	



STATE OF TEXAS
Records Retention Schedule

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10-29(a)	--	Animals-Equine	Equine identifying information. Excludes animals with positive sample.	AC	10			AC = Date of last race.		Medium: Database; Disposition: Delete	
10-29(b)	--	Animals-Greyhound	Greyhound identifying information. Excludes animals with positive sample.	AC	5			AC = Date of last race.		Medium: Database; Disposition: Delete	
10-30(a)	--	Samples-Positive	Results from lab samples testing positive.	PM						Medium: Database; Disposition: Permanent	
10-30(b)	--	Samples-Negative	Results from lab samples testing negative.	CE	5					Medium: Database; Disposition: Delete	
10-31	--	Pre-Race Comments	Includes comments of Veterinarians, Test Barn Supervisors.		10					Medium: Database; Disposition: Delete	
10-32(a)	--	Vet Lists-Horse	Includes horse bleeder list, furosemide list, injuries and related vet lists.		10					Medium: Database; Disposition: Delete	
10-32(b)	--	Vet Lists-Greyhound	Includes greyhound injuries and related vet lists.		5					Medium: Database; Disposition: Delete	