



February 2, 2018

Ms. Mary Welch  
Accountant  
Texas Racing Commission  
8505 Cross Park Dr. Ste. 110  
Austin, Texas 78754

Re: Agency records retention schedule approved for use.

Dear Ms. Welch,

Lorenzo de Zavala  
State Archives and  
Library Building

Your agency's records retention schedule is approved for use as of January 29, 2018. Your currently approved records retention schedule is available on our website at <https://www.tsl.texas.gov/slrn/state/schedules.html>. Please ensure that all old copies of the schedule are superseded with this recertified copy.

1201 Brazos Street  
Austin, Texas  
78701

Your approved retention schedule provides you with continuing authorization to dispose of agency records according to its terms. Please note that state regulations (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.

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

Each agency schedule must be reviewed, updated and submitted for recertification annually for the first two years after the initial approval of the schedule and every five years thereafter. The deadline for submission of your schedule for its next recertification is the last working day of January, 2023.

[www.tsl.texas.gov](http://www.tsl.texas.gov)

During a certification period, changes may need to be made to your schedule. State regulations (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, Gina Cervantes at 512-463-6623 or [gcervantes@tsl.texas.gov](mailto:gcervantes@tsl.texas.gov).

*Commission Chairman*  
Michael C. Waters

*Members*  
Sharon T. Carr  
F. Lynwood Givens  
Larry G. Holt  
Martha Wong

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.

*Director and Librarian*  
Mark Smith

Sincerely,

*Assistant State Librarian*  
Gloria Meraz

A handwritten signature in black ink, appearing to read "GK".

Craig Kelso  
Director and State Records Administrator

**TSLAC**

cc: Agency head

*Preserving yesterday  
Informing today  
Inspiring tomorrow*

6c



# 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)

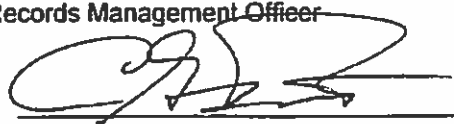
Agency Code 476  
Agency Name Texas Racing Commission

- (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 

Name (Print or type) Chuck Trout  
Date 9-27-17


### 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   
Name (Print or type) Gloria Meraz  
Date 1/29/18

Cert/Recert No. 9 Amendment No. -

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## 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.**



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					Years	Months	Days					
1-1	--	Regulatory Oversight Files	Includes reports and information from race tracks and training facilities.	AV	5					Medium: Paper; Disposition: Recycle		
1-2	--	Racing Industry Information	Includes reports and information from industry and horsemen groups, breed registries, and associations.	AV	5					Medium: Paper; Disposition: Recycle		
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.		
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.		

**Retention Codes (field 7)**

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 (Field 10)**

A/I – Transfer to State/University Archivist  
 R/O – Review by State/University Archivist

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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.		

<p><b>Retention Codes (field 7)</b></p> <p>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><b>Archival Codes (Field 10)</b></p> <p>A/I – Transfer to State/University Archivist          R/O – Review by State/University Archivist</p>
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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.		
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	
1-14	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		

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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.		Medium: Paper; Disposition: Shred See RSIN 1.1.067/AIN 1-30 for summary reports compiled from customer surveys.		
1-18	1.1.043	Training Materials	Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US	1					Medium: Paper; Disposition: Recycle		
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.		

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1-20	1.1.053	Registration Logs	Registration Logs/Visitor Control Registers. 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. Logs, registers, or similar records documenting visitors to limited access or restricted areas of agency facilities.		3					Medium: Paper; Disposition: Shred Additional RSIN: 5.4.011	Government Code §2004.004.	
1-21	1.1.055	Strategic Plans	Information resources and operational strategic plans prepared in accordance with Government Code §2054.095 and §2056.002.	PM					A	Medium: Paper; Disposition: Permanent ARCHIVES NOTE: 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.	Government Code §2054.095 and §2056.002.	

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1-22	1.1.056	ADA (American with Disabilities Act) Documentation	Self evaluations and plans documenting compliance with the requirements of the American with Disabilities Act.		3					Medium: Paper; Disposition: Shred	28 CFR 35.105(c).	

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					Years	Months	Days					
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.		Medium: Paper; Disposition: Shred Medium: Electronic; Disposition: Delete The disposal of transitory information need not be documented.		

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					Years	Months	Days					
1-24	1.1.058	Commission Meeting Agenda and Transcripts	Includes agenda, transcripts, and supporting documentation.	PM					A	Medium: Paper; Disposition: Permanent Medium: Electronic; Disposition: Permanent 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. May contain some confidential information; legal review before release. Additional RSIN: 1.1.062		
1-25	1.1.059	Certified Agenda from Commission Meeting	Executive Sessions (Closed Meetings)	AC	2			AC=The date of the meeting or completion of pending action involving the meeting, whichever is later.		Medium: Paper; Disposition: Shred	Government Code §551.104(a).	
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		

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					Years	Months	Days					
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.		
1-29	1.1.066	Annual Agency Reports (Narrative)	Annual reports to the governor and legislature as required by enabling statute.	PM					A	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.		

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					Years	Months	Days					
1-30	1.1.067	Reports and Studies (Non-Fiscal)	Reports or studies on non-fiscal aspects of an agency's programs, services, or projects not included elsewhere in this schedule.		6				R	Medium: Paper; Disposition: Archives Medium: Electronic; Disposition: Delete		
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 for 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.	AC	3			AC=Completion or termination of program, rules, policies, or procedures.	R	Medium: Paper; Disposition: Archives Also see RSIN 1.1.071/AIN 1-32. See RSIN 5.1.014/AIN 1-48 for Departmental Policies/Procedures		

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					Years	Months	Days					
1-32	1.1.071	Agency Rules, Policies, and Procedures – Working Files	Working files used in the development of 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.	AC	3			AC=Completion or termination of program, rules, policies, or procedures.	R	Medium: Paper; Disposition: Archives See also RSIN1.1.070/AIN 1-31.		
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 and/or tapes of hearings conducted as part of the regulatory process, and hearings on proposed rules and changes. Includes any final decisions.	AC	3			AC=Last action.	R	Medium: Paper; Disposition: Archives		
1-35	1.1.074	Sunset Review Report and Documentation		AC	3			AC=After the subsequent Sunset Review.	R	Medium: Paper; Disposition: Archives		

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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 File	Print masters of original version and all subsequent revisions to an agency form, including any associated design or design modification requests.	AC	1			AC=Discontinuance of use or form.		Medium: Paper; Disposition: Recycle		
1-38	1.2.004	Forms Inventory	Any periodic listing of all forms used by an agency.	US						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		
1-42	1.2.011	Records Center Storage Approval Forms (RMD 106)	Agency copy.	US						Medium: Paper; Disposition: Recycle		
1-43	1.2.012	Records Inventory Worksheets		US						Medium: Paper; Disposition: Recycle		

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1-44	1.2.013	Records Control Locator Aids	Includes indexes, card files, shelf lists, guides, etc.	AC				AC=When control aid is updated, revised, or no longer needed.		Medium: Paper; Disposition: Recycle		
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	5.4.013	Disaster Preparedness and Recovery Plan/Evacuation Plan		US	2					Medium: Paper; Disposition: Recycle		
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		

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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.		
1-51	1.1.023	Organization Charts		US					A	Medium: Paper; Disposition: Archives		
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 and records of executive staff or commission members , division directors, and program heads require archival review.		

<p><b>Retention Codes (field 7)</b></p> <p>AC – See event trigger for specific records series definition</p> <p>AV – Administratively valuable</p> <p>CE – Calendar year end</p>	<p>FE – Fiscal year end</p> <p>LA – Life of Asset</p> <p>PM – Permanent</p> <p>US – Until Superseded</p>	<p><b>Archival Codes (Field 10)</b></p> <p>A/I – Transfer to State/University Archivist</p> <p>R/O – Review by State/University Archivist</p>
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# STATE OF TEXAS

## Records Retention Schedule

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	13. Amended
					Years	Months	Days					
1-53	5.4.003	Inspection Records	Fire, safety, and other inspection records of agency facilities and equipment.	AC	3			AC= Inspection, or date of the correction of the deficiency if the inspection report reveals a deficiency.		Medium: Paper; Disposition: Shred		
1-54	5.4.004	Fire Orders	Orders issued by Fire Marshal to correct deficiencies in compliance with the fire code.	AC	3			AC=Deficiency corrected.		Medium: Paper; Disposition: Shred		
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		
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		

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**Archival Codes (Field 10)**

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					Years	Months	Days					
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		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.		
1-59		Uncontested Racetrack License Applications		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.		

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					Years	Months	Days					
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 applications and correspondence.	US	2					Medium: Paper; Disposition: Shred		
1-62		Racetrack Building Plans and Specifications		AC	1			AC=After completion of the project.		Medium: Paper; Disposition: Shred		
1-63		Racetrack Automated Teller Machine (ATM) Records		FE	3					Medium: Paper; Disposition: Shred		

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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.	A	Medium: Paper; Disposition: Shred ARCHIVES NOTE: The archival requirement is met by sending the required copies of the requests to the Texas State Publications Depository Program, Texas State Library and Archives Commission. Only copies of supporting documentation submitted to the Legislative Budget Board are archival.		
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		

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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		
2-4	4.5.001	Worksheets for Preparing Fiscal Reports		FE	3					Medium: Paper; Disposition: Recycle		
2-5	4.5.002	Internal Fiscal Management Reports	Includes agency monthly budget reports.	FE	3					Medium: Paper; Disposition: Shred Medium: Electronic; Disposition: Delete		
2-6	4.5.003	Annual Financial Report	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		
2-7	4.5.005	External Fiscal Reports	Special purpose – i.e., federal financial reports, salary reports. Includes HUB Reports.	FE	3					Medium: Electronic; Disposition: Delete		
2-8	4.5.006	Annual Operating Budgets	Required by the General Appropriations Act.	FE	3					Medium: Paper; Disposition: Recycle Medium: Electronic; Disposition: Delete		

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2-11	4.5.007	USAS Reports	Includes Daily, Monthly, and Annual Reports. Includes General Ledger information and all financial reporting.	FE	3					Medium: Electronic; Disposition: Delete Additional RSINs: 4.5.008, 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		FE	3					Medium: Paper; Disposition: Shred		
2-17	4.1.007	Transfers or Budget Revisions	Transfers or adjustments to budgets.	FE	3					Medium: Paper; Disposition: Recycle		
2-18	4.4.002	Accounts Receivable Records		FE	3					Medium: Paper; Disposition: Shred		
2-19	4.4.003	Accounts Payable Ledgers		FE	3					Medium: Electronic; Disposition: Delete		

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2-20	4.2.001	Deposit Vouchers	Deposit slips, Daily check log	FE	3					Medium: Paper; Disposition: Shred Additional RSIN: 4.2.003		
2-21	4.2.006	General Journal Vouchers		FE	3					Medium: Paper; Disposition: Shred		
2-23	4.7.002	Bank Statements	Travel advance, petty cash.	FE	3					Medium: Paper; Disposition: Shred		
2-25	4.1.004	Encumbrance Vouchers	Orders, statements, change orders, etc. Includes encumbrance detail.	FE	3					Medium: Paper; Disposition: Recycle Additional RSIN: 4.2.004		
2-26	3.3.023	Expenditures/Purchase Vouchers	Requisitions, orders, receiving reports, invoices or statements, change orders, best value determination, travel and payroll etc. Includes freight bills paid, order acknowledgements, and packing slips.	FE	3					Medium: Paper; Disposition: Shred Medium: Electronic; Disposition: Delete Additional RSINs: 4.2.005, 4.2.007, 5.3.002, 5.3.004, 5.3.005		
2-30	4.7.001	Accounting Policies and Procedures Manual		US	3					Medium: Electronic; Disposition: Delete		
2-31	4.7.003	Returned Checks/Warrants/Drafts	(Uncollectable – copy of check)	AC	3			AC=After deemed uncollectable.		Medium: Paper; Disposition: Shred		

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					Years	Months	Days					
2-32	4.7.004	Capital Asset Records		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	3			AC = US + FE		Medium: Paper; Disposition: Shred		

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					Years	Months	Days					
2-35	5.1.001	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.	AC	7			AC=Expiration or termination of the contract according to its terms. See related AIN 2-52, RSIN 5.3.007 for Bid Documentation.		Medium: Paper; Disposition: Shred	Government Code, 441.1855	

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					Years	Months	Days					
2-35(a)	5.1.001	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. See related AIN 2-52(a), RSIN 5.3.007 for Bid Documentation.		Medium: Paper; Disposition: Shred	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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					Years	Months	Days					
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		
2-43	5.2.014	Inventory – Annual Physical	Property, equipment, and supply verification.	FE	3					Medium: Paper; Disposition: Recycle Medium: Electronic; Disposition: Delete		
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		

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					Years	Months	Days					
2-52	5.3.007	Bid Documentation	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.		

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					Years	Months	Days					
2-52(a)	5.3.007	Bid Documentation	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.		
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=Date of direct purchase, issuance of request for bids, or decision not to proceed with the procurement, as applicable.		Medium: Electronic; Disposition: Delete		

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					Years	Months	Days					
2-59	5.5.001	Billing Detail – Telecommunications	In addition to summary detail, includes any accompanying detailed listing of long distance calls.	FE	3					Medium: Paper; Disposition: Shred The billing agency will maintain all long distance TEX-AN records and will provide each using agency its bill summary of centralized Capitol Complex phone service without call detail records.		
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.		2					Medium: Paper; Disposition: Shred	29 CFR 1602.31 (state agencies)	
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		

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					Years	Months	Days					
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		
3-6	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.		2					Medium: Paper; Disposition: Shred	29 CFR 1602.31 (state agencies)	
3-7	3.1.019	Performance Appraisals		AC	5			AC=Termination of employment.		Medium: Paper; Disposition: Shred	29 CFR 1620.32(c).	
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 employment.		Medium: Paper; Disposition: Shred		
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		

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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 (state agencies)	
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		FE	4					Medium: Paper; Disposition: Shred	40 TAC 815.106(i)	
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.	
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).	

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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	13. Amended
					Years	Months	Days					
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		
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		

**Retention Codes (field 7)**

AC – See event trigger for specific records series definition  
 AV – Administratively valuable  
 CE – Calendar year end

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**Archival Codes (Field 10)**

A/I – Transfer to State/University Archivist  
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# STATE OF TEXAS

## Records Retention Schedule

1. Agency Code: 476		2. Agency Name: Texas Racing Commission										
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					Years	Months	Days					
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		
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.		
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 Additional RSIN: 3.1.011		
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).	

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					Years	Months	Days					
3-26	3.2.005	W-4 Forms		AC	5			AC=Until superseded or termination of employment.		Medium: Paper; Disposition: Shred	26 CFR 31.6001-1(e)(2)	
3-27	3.2.007	Unemployment Compensation Records		AC	5			AC=Termination of employment or retirement.		Medium: Paper; Disposition: Shred		
3-28	3.2.008	Direct Deposit Application/Authorizations		US						Medium: Paper; Disposition: Shred		
3-29	3.2.009	State Deferred Compensation Records		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: Paper; Disposition: Shred		
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		

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					Years	Months	Days					
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		
3-40	3.3.030	Training Administration Records		US	2					Medium: Paper; Disposition: Shred		
3-41	3.3.031	EEO Reports			3					Medium: Electronic; Disposition: Delete	29 CFR 1602.30, 1602.32, 1602.39, 1602.41, 1602.48, and 1602.50	
3-42	3.3.032	Equal Pay Records			3					Medium: Electronic; Disposition: Delete	29 CFR 1620.32	
3-43	3.2.002	Employee Earning Records			4					Medium: Paper; Disposition: Shred	40 TAC 815.106(i)	

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# STATE OF TEXAS

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					Years	Months	Days					
4-2	2.1.007	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	
4-5	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		LA	3					Medium: Paper; Disposition: Recycle		

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					Years	Months	Days					
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		
4-13	--	Portal Balancing Records		FE	2					Medium: Paper; Disposition: Shred		
4-14	--	Budget Plans, Purchases, and Maintenance Contract Documents		LA	3					Medium: Paper; Disposition: Recycle Medium: Electronic; Disposition: Delete		
5-4	--	Disciplinary Files of Licensees	Maintained in field offices. Includes documentation for hearings involving licensees that are conducted by stewards and judges.	AC	2			AC=After Closed or Settled.		Medium: Paper; Disposition: Shred May contain some confidential information; legal review before release.		

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					Years	Months	Days					
5-5	--	Test Examinations of Stewards and Judges	Includes eye exams and written exams to ensure competency of job responsibilities.	CE	1					Medium: Paper; Disposition: Shred		
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		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 -		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	AC				AC=End of race meet.		Medium: Paper; Disposition: Shred		

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					Years	Months	Days					
5-18	--	Apprentice Jockey Certificate			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		
6-2	--	Active Occupational Licensing Files	Applications for active licensees.	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.	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.		

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					Years	Months	Days					
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		FE	3					Medium: Paper; Disposition: Shred		
6-7	--	Daily License Revenue Reports			1					Medium: Paper; Disposition: Shred		
7-1	--	Pari-Mutuel Wagering Correspondence and Approvals		CE	5					Medium: Paper; Disposition: Shred		
7-2	--	Auditor Log		CE	1					Medium: Paper; Disposition: Recycle		
7-4	--	Totalisator Computer System (Tote) Test Work Papers and Results		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		

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7-7	--	Pari-Mutuel Cumulative Liability Reports for Manually Entered Wagering Data		CE	1					Medium: Paper; Disposition: Recycle		
7-8	--	Order of Finish Reports				6				Medium: Paper; Disposition: Recycle		
7-12(a)	--	Pari-Mutuel Wagering Information Reports	TXRC Weekly Handle Reports			6				Medium: Electronic; Disposition: Delete		
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	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		CE	1					Medium: Paper; Disposition: Recycle		
7-18	--	Tote Data Load Form		FE	2					Medium: Paper; Disposition: Recycle		
7-20	--	Tote Incident/Failure to Merge Reports		CE	1					Medium: Paper; Disposition: Shred		

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					Years	Months	Days					
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)		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		
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		

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					Years	Months	Days					
8-12	--	Certificate of Bleeding Forms (maintained in field offices)		CE	1					Medium: Paper; Disposition: Recycle		
8-13	--	Catastrophic Injury Reports (Originals maintained in field offices)		CE	10					Medium: Paper; Disposition: Permanent		
8-25	--	Shipping Seal Log (maintained in field offices)		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		CE	10					Medium: Electronic; Disposition: Delete		

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8-31		Reconciliation Tracking Reports and Billing Logs	Inlcudes TVMDL and University of California, Davis (UC Davis)	AV						Medium: Electronic; Disposition: Delete		
9-2	--	Intelligence Reports		PM						Medium: Paper; Disposition: Permanent Also see Database Series. Criminal histories are confidential.		
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.		

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					Years	Months	Days					
9-6	--	Law Enforcement Agency Files		AV						Medium: Paper; Disposition: Shred Medium: Electronic; Disposition: Delete		
9-11	--	Peace Officer Accreditation Files		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		PM						Medium: Paper; Disposition: Shred Medium: Electronic; Disposition: Delete Open investigatory files are confidential. Closed files may contain confidential information; legal review before release.		
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		

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**Retention Codes (field 7) - continued**

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9-16		Positive Test Sample Report	Results from lab samples testing positive.	CE	1					Medium: Paper; Disposition: Recycle Also see Database Series.		
10-1	1.1.006	Complaints	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: Database; Disposition: Delete		
10-2	1.1.020	Public Information Requests		AC	2			AC=Date request fulfilled or date of notification that records are exempt.		Medium: Database; Disposition: Delete Additional RSIN: 1.1.021	Chapter 552, Government Code	
10-3	5.1.015	Mail Log	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.	FE	3							
10-4	4.2.005	Purchase Requests	IT only.	FE	3					Medium: Database; Disposition: Delete		
10-6	--	Handle – Export	Handle records for exported races.	CE	6					Medium: Database; Disposition: Delete		

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					Years	Months	Days					
10-7	--	Wager Details – Live, Simulcast, and Cross Species		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		
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.	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		

**Retention Codes (field 7)**

AC – See event trigger for specific records series definition  
 AV – Administratively valuable  
 CE – Calendar year end

**Retention Codes (field 7)**

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

# STATE OF TEXAS

## Records Retention Schedule

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	13. Amended
					Years	Months	Days					
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)	--	Intelligence 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		
10-16	--	Hardware Inventory		LA	1					Medium: Database; Disposition: Delete		
10-17	--	Software Inventory		LA	2					Medium: Database; Disposition: Delete		
10-18	--	Service Requests		AV						Medium: Database; Disposition: Delete		

**Retention Codes (field 7)**

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# STATE OF TEXAS

## Records Retention Schedule

1. Agency Code: 476		2. Agency Name: Texas Racing Commission										
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					Years	Months	Days					
10-19	--	Help Desk Requests		LA	1					Medium: Database; Disposition: Delete		
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.		
10-24	--	Revenue	License history revenue	FE	3					Medium: Database; Disposition: Delete		

**Retention Codes (field 7)**

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**Retention Codes (field 7)**

FE – Fiscal year end  
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**Archival Codes (Field 10)**

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# STATE OF TEXAS

## Records Retention Schedule

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	13. Amended
					Years	Months	Days					
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		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		
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		

**Retention Codes (field 7)**

AC – See event trigger for specific records series definition  
 AV – Administratively valuable  
 CE – Calendar year end

**Retention Codes (field 7) - continued**

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

# STATE OF TEXAS

## Records Retention Schedule

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	13. Amended
					Years	Months	Days					
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		

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**Archival Codes (Field 10)**

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R/O – Review by State/University Archivist