



Shortcuts

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General Notes

- After your TSLAC Analyst reviews your entity's **recertification**, you may receive a review memo with required and suggested changes.
- The review memo will include a column titled "RMO Notes," which can be used to respond to your TSLAC Analyst.
- Required changes (R) are required to be made or addressed prior to TSLAC approving your entity's recertification.
- Suggested changes (S) are not required to be made or addressed for TSLAC to approve your entity's recertification. TSLAC recommends implementing suggested changes if the change will be internally beneficial for your entity. On your review memo, TSLAC recommends providing a reason for why a suggested change was not implemented, because this information will be used as reference material for future staff.

Disclaimer

The purpose of this document is to provide a general idea of what to expect back from TSLAC to help address concerns prior to submitting the recertification to TSLAC. Your analyst will use their best discretion when reviewing the recertification, so required and suggested changes may not be assigned exactly as this document outlines.

Required Changes (R)

Each series must include: [AIN](#), Record Series Title, and Retention Period.

All content must be in the appropriate field.

There cannot be duplicate use of an AIN.

- **[Your TSLAC Analyst](#)** can provide you with a list of AINs used by your entity.

Changing AIN schemes may result in a required change.

- If an AIN is tied to storage at the State Records Center, there are steps that must be taken prior to changing the AIN.
- Recommended: If changing your AIN scheme, consult with your TSLAC Analyst prior to doing so.

If the purpose of a series is the same as a series on the State *RRS* or *URRS*, the *RSIN* must match the related series' *RSIN*.

- TSLAC uses the *RSIN* to ensure the series meets the state's minimum requirements.
- If the purpose of a series does not match a series on the State *RRS* or *URRS*, the *RSIN* column can be left blank, or a *stem* can be used.

If titles, descriptions, *cross references*, and caution notes are customized, the purpose of the series must remain the same as the cited *RSIN*.

For *unique series*, the series must have a description if the purpose of the series and/or what records are stored under the series is not clear.

- TSLAC uses the title and description to ensure the series is truly unique and therefore does not have any requirements found on the state's schedules.

If *triggers* in the AC Definition are customized, the AC Definition must clearly meet the state's minimum. See *Suggested Changes* for ways TSLAC recommends meeting this requirement.

- AC Definitions can be customized to remove non-applicable triggers if the AC Definition clearly meets the state's minimum retention period.
 - CAUTION: Consider if a trigger may eventually apply to the record. If it could, then keep the trigger. Removing the trigger prevents your entity from being able to destroy records based off the non-added trigger.

Retention periods must meet or exceed the minimum retention period found on the State *RRS* and *URRS*.

Any usage of "AC" in the Retention Code column, must be defined in the AC Definition column.

For state agencies only: Unless approved by the State Archives at TSLAC, Archives Codes and Notes must match the State *RRS* exactly.

Reach out to your TSLAC Analyst for information about custom Archives Codes or Notes that may be present on your entity's schedule.

If a series was made obsolete or *bucketed* on a recent State RRS or URRS update, your entity must do one of the following options.

- NOTE: The *Recertification Packet* includes links to the RRS and URRS changes.
- Option 1: Match the State RRS or URRS update by updating all affected series. This can include, obsoleting series, updating language in affected series, etc.
- Option 2: Keep the series on your entity’s schedule and make necessary updates:
 - o If leaving the series will exclude applicable records, ensure a general series has been added to your entity’s schedule.
 - o Change the series’ RSIN to the new RSIN. If the series is now in multiple series, assign an applicable stem or keep the RSIN column blank.
 - o If applicable: Update the retention period to meet or exceed the new minimum and add any Archival Codes or Notes.
 - o SUGGESTED: Add any cross references, caution notes, and/or legal citations from the new series that are applicable.
 - o SUGGESTED: Add a cross reference to the general series.

Example of Option 2: On the State RRS Version 4 to 5 update, TSLAC bucketed series 1.1.041 – Suggestion Systems Records into series 1.1.006 for complaints, 3.1.018 for grievances, and 1.1.008 for general correspondence. The entity kept 1.1.041 and updated it to meet the new state minimum requirements. Updates are marked in red font and strike throughs.

RSIN	Title	Description	Ret. Code	Archival Code	Remarks	Legal Citation
1.1.041 1.1	Suggestions System Records	Suggestions submitted by agency personnel and responses	1 year AC + 2, with AC = Date of receipt, action taken, final disposition of the complaint, or final decision on the grievance, whichever later.		If suggestion becomes part of a complaint, see RSIN 1.1.006. If a suggestion becomes part of litigation, see 1.1.048. Series stems from 1.1.006, 3.1.018, and 1.1.008 on State RRS.	

Stem was chosen because two out of three series fall in Section 1.1. Further language was added to the Remarks column to clarify which series TSLAC considers the records to fall under, which will help with maintain the series. – The entity should consider adding a cross reference to this series in the Remarks column of 1.1.006, 3.1.018, and 1.1.008.

Suggested Changes (S)

If combining (or bucketing) multiple series, TSLAC recommends adding to the Remarks: “Series includes records fitting to [all RSINs that fall under series].”

- This helps your TSLAC Analyst determine if the series meets the state minimum requirements. This tells your TSLAC Analyst that you are aware the series contains records found on the State RRS or URRS.
- This ensures that the series is easily maintained in the future. In the future, staff can refer to the RSIN to see if the series needs to be updated.

If customizing the title or description, ensure that the series still includes all related records that the entity creates, is responsible for managing, or is created on behalf of the agency.

- Narrowing a series too much will lead to your entity not being permitted to destroy records. This is because State Records Management Laws and Rules, Section 441.187(a)(1) states that a series must appear for all your entity’s records.
- Pro tip: If creating a narrow series (such as a series applicable to a particular department’s records), ensure that there is also a general series on the schedule to cover other, similar records that the entity creates or maintains.

Add a description for all series to help TSLAC and your entity’s staff understand the purpose of the record series.

- Pro tip: For any custom description, ask yourself, if you were not familiar with your entity’s operations, would you understand this series?

Series should be clearly written, the scope of coverage should be clearly discernable, and the retention period should be easy to understand.

Define all abbreviations and acronyms at least once on your schedule. Preferably, the first time they are used.

If your entity’s retention period exceeds TSLAC’s minimum retention period, add to the Remarks: “Retention exceeds TSLAC minimum of [insert TSLAC’s retention period].”

- We recommend internally documenting why the retention period exceeds TSLAC’s minimum. This comes from helping future staff at your entity understand

the background information behind the longer retention period. This can help them decide who to talk to and if the retention period can be lowered.

- Adding TSLAC’s retention period to the Remarks ensures the series is properly maintained in the future if there are any changes to either retention period, because it provides you immediate knowledge of what the series looked like on both ends.

Example #1 of this suggested language

Schedule	Retention Period	Remarks
TSLAC	AC + 1, with AC = Date request fulfilled or withdrawn.”	
Agency/University	AC + 1, with AC = Date request is filed with Department A or withdrawn.	Retention period meets or exceeds TSLAC minimum of AC + 1, with AC = Date request fulfilled or withdrawn.

Example #2 of this suggested language

Schedule	Retention Period	Remarks
TSLAC	3 years	
Agency/University	US	Retention period meets or exceeds TSLAC minimum of 3 years.

For custom AC Definitions with multiple triggers: Add “whichever later” to the AC Definition to ensure the series meets the state minimum.

Example of this suggested language

Schedule	Retention Period
TSLAC	AC + 2, with AC = Until superseded or use of form is discontinued.
Agency/University	AC = Until Superseded, use of form is discontinued, or associated project has concluded, whichever later.

For public universities only: Unless approved by your university’s archives, Archives Codes and Notes should match the State RRS and URRS exactly.

TSLAC recommends removing cross references to series that cannot be found on your entity’s schedule.

- This helps prevent staff from following series that the entity is not permitted to follow. See [State Records Management Laws & Rules, Section 441.187\(a\)\(1\)](#) for further information.

If internally beneficial, TSLAC recommends changing cross references from using TSLAC's RSIN to your entity's AIN.

- This is especially beneficial if your entity has multiple series that use the same RSIN, because you can direct to the exact series you are referring to.

Terms Explained

Bucketed series: Series contains multiple series from the State RRS and/or URRS.

- More information about bucketing series can be found in our articles: [To Bucket or Not to Bucket...?](#) and [The Bucketing Strategy as a Precautionary Solution](#).

Cross reference: Language in the Remarks column that points to another series. E.g., "See RSIN 1.1.065 for raw data used to produce reports."

Recertification: Requirement to submit your entity's schedule to TSLAC at least every five years for review and approval.

Stem: Number in the format "#.#" that can be used in a series' RSIN column to show which category from the State RRS's and URRS's Table of Contents that the series falls into.

- E.g., 5.4 means the series' purpose is like series in the Risk Management category.

Trigger: The AC Definition lists events that trigger either the record's ability to be destroyed or the retention clock. The retention clock is when the record needs to be retained for the number of years, months, or days added in the respected column.

Unique series: Entity has determined that series does not fit the purpose of a series on the State RRS (and for universities: URRS). This is different from a bucketed series.

Acronyms Explained

AIN: Agency Item Number, found in the first column of your entity's retention schedule. Identification number that your entity assigned to a series.

RRS: [State Records Retention Schedule](#), published and maintained by TSLAC.

RSIN: Record Series Item Number, found in the first column of the State RRS and URRS. Will appear in the second column on your entity's retention schedule. Identification number that TSLAC assigned a series.

TSLAC: Texas State Library and Archives Commission. The agency responsible for assisting Texas state agency and public universities with [recertifying](#) their retention schedules.

URRS: [University Records Retention Schedule](#), published and maintained by TSLAC.