





TEXAS MILITARY DEPARTMENT

State Records Management

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 Office of State Administration

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DIRECTIVE

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SUBJECT: State Records Management 1200.01

AUTHORITY. Texas Government Code, Chapters 441 and 552.

1. PURPOSE.

This directive establishes the Texas Military Department (TMD) State Records Management Policy in accordance with Texas Government Code, Chapter 441, and the Texas Public Information Act (TPIA), Chapter 552.

Texas Government Code Chapter 441 requires state agencies to establish and maintain an active, continuing records management program to ensure the proper creation, maintenance, retention, preservation, and disposition of state records.

This directive provides the framework for managing state records across TMD, including the identification, protection, retention, and disposition of records, regardless of format or location.

In accordance with Texas Government Code §441.183, the agency head shall:

- a. Establish and maintain a records management program on a continuing and active basis.
- b. Create and maintain records that adequately document the organization, functions, policies, decisions, procedures, and essential transactions of the agency.
- c. Ensure the protection of confidential and vital state records.
- d. Ensure the proper transfer of records to successors as required.
- e. Cooperate with the Texas State Library and Archives Commission (TSLAC) in the administration of the records management program.

Texas Government Code §441.184 requires the designation of a Records Management Officer (RMO) to administer the agency's records management program.

2. APPLICABILITY.

This directive applies to all Texas Military Department (TMD) state employees and to all state records, regardless of format, including paper and electronic records.

3. POLICY.

- a. All state records shall be managed in accordance with the approved Records Retention Schedule (RRS) and applicable laws and regulations.
- b. Records shall not be destroyed, altered, or otherwise disposed of except as provided by an approved Records Retention Schedule and documented disposition procedures.
- c. All personnel are responsible for the proper creation, maintenance, and disposition of records in the course of official business.
- d. Records management requirements apply to all records regardless of format or system in which they are maintained.

4. DEFINITIONS

- a. **State Record:** Any information created, received, or maintained—regardless of the system on which that information was created, received, or maintained—that relates to any official TMD state-related duties or activities, regardless of format.
- b. **Vital State Record:** Any state record that is essential to TMD’s continued operation during and after an emergency or disaster. These records are necessary to resume or continue core agency functions; recreate the legal and financial status of the agency; and protect the legal rights of TMD and the individuals it serves.
- c. **State Records Management Officer (RMO):** The designated officer responsible for implementing and overseeing the state records management program across TMD.
- d. **State Records Custodian/Liaison:** Program or department-specific officer assigned to handle local state records management and ensure compliance with state requirements and agency-wide records management guidance and policy.
- e. **State Records Analyst:** Staff member responsible for supporting state records management-related compliance activities, conducting records inventories, and assisting with the development of records classification and retention practices.

State Retention Schedule: An approved schedule of recognized state records that outlines the retention duration for each type of TMD state record based on its content and purpose. Statute requires the agency to submit a retention schedule, updated as necessary, to TSLAC for approval and recertification every five years.

5. RESPONSIBILITIES

- a. Records Management Officer (RMO) – Oversees development, submission, and maintenance of the RRS.
- b. Records Analyst – Assists with records inventory, classification, and documentation.

- c. Records Custodians/Liaisons – Provide updates and ensure records are managed according to the RRS.
- d. All Employees – Must follow retention requirements and ensure proper handling of state records.

The official Records Retention Schedule (SLR 105) and Certification Form (SLR 105C) are maintained separately and must be used in their original format as required by the Texas State Library and Archives Commission (TSLAC). These forms shall not be altered.

Recertification Packet for RMO.pdf

6. RELEASABILITY. Unlimited.

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1-General Provisions

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1.1. Purpose

The Texas Public Information Act (TPIA), Texas Government Code, Chapter 552, ensures that Texas governmental agencies function in the open and, unless otherwise expressly provided by law, ensures people have access to public information about the affairs of government and the official acts of public officials and employees. TPIA defines "public information" as information that is written, produced, collected, assembled, or maintained under a law or ordinance or in connection with the transaction of official business:

- a. By a governmental body;
- b. For a governmental body and the governmental body:
 1. owns the information;
 2. has a right of access to the information; or
 3. spends or contributes public money for the purpose of writing, producing, collecting, assembling, or maintaining the information; or
- c. By an individual officer or employee of a governmental body in the officer's or employee's official capacity, and the information pertains to official business of the governmental body.

Further, Chapter 441 of the Texas Government Code requires state agencies, including the Texas Military Department (TMD), to have a records management program in place to guide the creation, protection, maintenance, and storage of state records, including those in electronic format. This statute, along with procedures, rules, and regulations from the Texas State Library and Archives Commission (TSLAC), forms the foundation of an agency-wide state records management framework to ensure that TMD complies with state records management requirements. It emphasizes secure, organized retention and disposition practices, data security, and accessibility standards for state records regardless of where they are held across TMD. Texas Government Code Section 441.183 defines the duties and responsibilities of agency heads regarding records management, which include:

- a. Establish and maintain a records management program on a continuing and active basis
- b. Create and maintain records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the agency designed to furnish information to protect the financial and legal rights of the state and any person affected by the activities of the agency
- c. When necessary, make certain that all records of the agency are passed to the agency head's successor
- d. Identify and take adequate steps to protect confidential and vital state records
- e. Cooperate with the Texas State Library and Archives Commission (TSLAC), the director and librarian, and any other authorized designee of the director and librarian in fulfilling their duties

Texas Government Code Section 441.184 requires the state agency head to act as or appoint a Records Management Officer to administer the agency's records management program.

1.2. Scope

This Guidance applies to all TMD state records, including paper, digital, microfiche, email, and other electronic records created, received, or maintained in the conduct of business. It also applies to all TMD personnel and contractors engaged in state records creation, handling, and management. The TMD State Records Disposition Cycle ensures the regular review and timely disposition of records in accordance with the agency's state retention schedule.

1.3. Definitions

- a. **State Record:** Any information created, received, or maintained—regardless of the system on which that information was created, received, or maintained—that relates to any official TMD state-related duties or activities, regardless of format.
- b. **Vital State Record:** Any state record that is essential to TMD’s continued operation during and after an emergency or disaster. These records are necessary to resume or continue core agency functions; recreate the legal and financial status of the agency; and protect the legal rights of TMD and the individuals it serves.
- c. **State Records Management Officer (RMO):** The designated officer responsible for implementing and overseeing the state records management program across TMD.
- d. **State Records Custodian/Liaison:** Program or department-specific officer assigned to handle local state records management and ensure compliance with state requirements and agency-wide records management guidance and policy.
- e. **State Records Analyst:** Staff member responsible for supporting state records management-related compliance activities, conducting records inventories, and assisting with the development of records classification and retention practices.
- f. **State Retention Schedule:** An approved schedule of recognized state records that outlines the retention duration for each type of TMD state record based on its content and purpose. Statute requires the agency to submit a retention schedule, updated as necessary, to TSLAC for approval and recertification every five years.

TMD State Records Disposition Cycle: A systematic process for the regular review, secure disposal, or transfer of TMD state records that have met their retention period, ensuring compliance with state regulations, agency guidance, and policy.

2-Roles and Responsibilities

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2.1. Roles and Responsibilities

- a. **Agency Leaders, Department, Division and Program Heads:** Ensure that TMD's Records Retention Schedule (RSS) is applied to records; discourage the creation of unnecessary records in any media; promote the application of filing systems and structures for the efficient organization, maintenance, and use of records to facilitate retrieval and use; ensure that records of continuing value are preserved, but that valueless or non-current information is disposed of or transferred to storage in a timely manner in accordance with TMD's RSS; ensure that the acquisition and use of all direct paper to microfilm systems and equipment or electronic digital images are technically feasible, cost-effective, and most appropriately satisfy program needs; ensure that appropriate criteria justifying the acquisition of information storage equipment is applied; preserve and protect information that is vital to the essential functions of TMD during an emergency or is information essential to the legal rights and interest of individual citizens and TMD; and provide for department-wide management of machine-readable and microfilm records in accordance with applicable statutes and regulations.
- b. **State Records Management Officer (RMO):** Oversees the agency-wide state records management program and ensures distribution of knowledge through training to foster compliance with retention schedules, security protocols, and accessibility standards. Manages the TMD State Records Disposition Cycle, coordinating with Records Analysts and State Records Custodians/Liaisons to ensure timely disposal or transfer of records that have met retention requirements. With support from the Records Analyst and state records liaisons, the RMO may conduct compliance reviews. Develops and provides training programs for records management, data security, and accessibility. Coordinates program efforts and may evaluate program effectiveness by making periodic surveys of information systems, equipment and services. Plan and coordinate TMD's Vital Records Program. Coordinates the retirement and retrieval of TMD records to the Records Center and the preparation and submission of the agency RRS in accordance with the schedule adopted by TSLAC, including amendments as required. Maintains the TMD master RRS
- c. **Records Analyst:** Supports the RMO by conducting records inventories, assisting in file plan development, preparing review documentation, and delivering targeted training for employees handling state records. May conduct detailed state records inventories, identifying all record types and ensuring accurate classification according to TMD retention schedules. Assists in conducting compliance reviews.
- d. **Records Custodians/Liaisons:** Implement state records management practices within programs and departments and ensure compliance with retention schedules and secure storage. This includes maintaining record metadata, following storage protocols, and preparing records for review, transfer, or disposal. Coordinates with Information Security Officer (ISO) and the RMO, as necessary, on data security measures and supports the TMD State Records Disposition Cycle by preparing state records for scheduled disposition. Assists the RMO in implementing the TMD State Records Disposition Cycle by scheduling regular reviews and documenting state records ready for disposition. Collaborate with the RMO or designee to analyze records management practices, support compliance reviews and audits, and recommend improvements.

- e. **IT Departments:** Manage a program or department's digital records infrastructure, enforce access controls, and support secure storage, backup, and recovery practices. Support the secure destruction of electronic records as part of the TMD State Records Disposition Cycle, ensuring compliance with Texas security standards.

All Employees Who Create, Receive, Maintain, or Dispose of State Records: Follow TMD state records management requirements and protocols, ensuring compliance with record creation, retention, and disposal requirements as specified in the retention schedule and the TMD State Records Disposition Cycle. Those employees who create or are responsible for maintaining state records must participate in mandatory annual records training and report any suspected violations or data integrity concerns.

3-Records Retention

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3.1. Records Retention Schedule, Survey, Certification, Maintenance, and Forms

- a. **Preparing the Records Retention Schedule:** Consulting with the Records Management Officer ensures that the period for the retention of specific records is neither too short nor too long. Records maintained for an insufficient retention period can constitute a legal and fiscal liability for a department and TMD. The TMD RRS is developed by collecting information about all records. This information is documented in a records survey, then analyzed to determine retention requirements.
- b. **Records Survey:** The survey covers all records, regardless of volume, location, or media. The survey identifies and gathers data on a records series basis, not on individual records or files. A records series is a group of records with the same function and the same retention period. Records series are not limited by volume or media. Survey data provides facts on which to base an analysis of the records. The records survey becomes the working document for the creation of the RRS.

An effective Records Management Program cannot be established or maintained without a complete records survey. Texas Government Code Section 441.185 states:

1. Each records management officer, with the cooperation of any staff of a state agency that the officer considers necessary, shall survey the state records of the agency and prepare and submit a retention schedule to the state records administrator.
2. The records retention schedule must list the state records created and received by the agency, propose a period of time each record shall be maintained by the agency, and provide other information necessary for the operation of an effective Records Management Program.

The primary objective of the record survey is to develop and implement the RRS by:

1. Identifying all records by record series
2. Determining the physical location and medium of all records, including the record copy and any non-record copies (convenience)
3. Identifying the function of the records

The record survey supports other goals by:

1. Identifying the range of dates and quantity of each record series, identifying the filing equipment and supplies used to maintain records
 2. Describing the current filing and retrieval system
 3. Calculating the amount of space dedicated to active and inactive records
 4. Evaluating the costs of record keeping
 5. Identifying paths of distribution
- c. Completion of the records survey is a collaborative effort between the Records Management Officer, the Records Management Analyst, and Records Custodians/Liaisons.

- d. **Analysis:** Records Management staff will use the data collected during the records survey to develop and maintain the RRS. The official decisions to be made during the analysis process are:
1. Record classification
 2. Unique records series number
 3. Official records series title
 4. In-office retention period
 5. Offsite retention period (storage of records during inactive phase)
 6. Total retention period (the sum of in-office and off-site retention periods)
 7. Archival status
 8. Any basis for retention period, e.g., legal citation, policy and/or other guidelines specific to the department

During the analysis process, records management staff must follow the recommendations found in the Texas State Records Retention Schedule when making retention decisions. This document provides an authoritative guideline for minimum retention periods required of each records series. They are also recommended as appropriate maximum retention periods.

- e. **Certification of Records Retention Schedule:** Compliance with 13 TAC 6.3 requires TMD to certify its RRS every five years from the last certification date. Before certification TMD's RRS must:
1. List all records series regardless of medium
 2. Identify archival records
 3. Ensure that minimum retention periods prescribed by the Texas State RSS are met
 4. Ensure that TMD's program records are scheduled on the RRS for a length of time sufficient to meet administrative, legal, fiscal, and archival requirements
 5. Be submitted in a manner and form prescribed by the state records administrator

When these requirements are met, the Records Management Officer will submit the RRS to the Texas State Library and Archives Commission for review and approval. Once the schedule is approved, the Texas State Library will forward the Certification and Approval Form to TMD. The Records Management Officer will distribute them to the Records Analyst and Records Custodians/Liaisons and schedule training sessions as needed.

- f. **Maintenance of the RRS:** The Records Management Officer is responsible for approving and maintaining all revisions to the schedule.
- g. **State Records Custodian/Liaison Responsibilities:** Between certifications, Records Custodians/ Liaisons are responsible for providing the RMO with documentation regarding changes to their records details. Changes may include:
1. Adding or dropping a records series
 2. Changing in-office, storage, or total retention periods
 3. Adding to or revising remarks relevant to citations of applicable federal or state laws or regulations or other information regarding records retention requirements

- h. **Decertification:** TMD's Records Retention Schedule will be decertified if the procedures outlined in 13 TAC 6.3 are not followed. If TMD's RRS is decertified, no department will be authorized to destroy records

based on the schedule and must request authorization from the director and librarian of the Texas State Library and Archives Commission.

- i. **Understanding and Using the Records Retention Schedule:** Only through use of the RRS can TMD departments realize the benefits of Records Management.
- j. **Benefits:**
 1. Compliance with legal requirements
 2. Authority to dispose of records that have met their retention requirements
 3. Legal protection to TMD when destroying records
 4. Retention of records of permanent value
 5. Improved protection of vital records
 6. Security for records with confidential or sensitive information
 7. Use of office space for access to active records
 8. Storage of inactive records in less expensive storage areas, like the Records Center
 9. Release of equipment and reusable media for other productive uses
- k. **Record Formats:** Maintain records in formats offering best cost-effectiveness and that meet retention objectives to:
 1. Keep records in office while in active use
 2. Store records that are no longer needed but that must be retained to meet total retention period
 3. Dispose of records with expired retention periods
 4. Preserve records that are archival value
- l. **Records Retention Schedule Form:** Specific information is entered on the TMD Records Retention Schedule to document decisions made during the record survey and analysis stages. Use of the Texas State Library's "State of Texas Records Retention Schedule" (SLR 105) form, or a computer-generated facsimile of the form, is required for all state agencies.

The form has 12 fields of information. Each field is explained below:

 1. Field 1 - The agency code - TMD is 401.
 2. Field 2 - The agency name
 3. Field 3 - TMD's agency item number
 4. Field 4 - The five-digit records series item number as shown on the Texas State Records
 5. Retention Schedule
 6. Field 5 - The official record series title
 7. Field 6 - Item description
 8. NOTE: A Record Series Title must remain consistent throughout the life cycle of that series. Every Records Series Title must have a distinct name
 9. Field 7 - Retention Code. Using the archival codes at the top of the form, indicate the archival value of each Records Series Title.
 10. Field 8 - Retention Period - The period of time that the records series is to be kept in the agency (meaning department); the period of time the series is to be kept in inactive storage at the Records Center; and the total of the two amounts. The retention codes are explained at the top of the form

11. Field 9 - Archival Code definitions
12. Field 10 - Archival status
13. Field 11 - Remarks for that specific series
14. Field 12 - Legal Citations. Any statutory references, other legal citations or agency policy used as a basis for retention. The law requires that we supply the source of any documented restrictions applying to retention.

m. Contract and Solicitation Record Retention

In accordance with Texas Government Code Section 441.1855, TMD will retain each contract entered into and all contract-related solicitation documents for a minimum of seven years following the date the contract is completed or expires, whichever is later. If any litigation, claim, negotiation, audit, open records request, administrative review, or other action involving the record is initiated or anticipated, the records must be retained until the completion of the action and the resolution of all issues that arise from it, or until the expiration of the seven-year retention period, whichever is later.

Electronic records related to contracts must be maintained in compliance with the agency's electronic records management policy to ensure the preservation of metadata, chain of custody, and accessibility throughout the retention period.

4-Records Management Processes

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4.1. Managing Records

- a. **Official Record:** Any written, photographic, machine-readable, or other recorded information created or received by or on behalf of a state agency or an elected state official that documents activities in the conduct of the state business or use of public resources. It does not matter where the record was created (on a state system, a personal device, or a federal system); if the record relates to state business, it is retainable under state record management law. The official record must be retained to fulfill legal, operational, and statutory retention requirements, as it is the official record.
- b. **Characteristics of an Official Record:** An official record or file is a complete, true, unaltered, and accurate record when it is the original file. An official record:
 1. May or may not bear an original signature
 2. May have originally been a convenience, information, or other non-record to which significant annotations or added signatures have been made
 3. May have originally been a convenience or information copy, but has been retained past the destruction of the original record, becoming, by default, a record

When in doubt about the status of a record, it is safest to handle it as an official record.

- c. **Electronic Official Records and the Official Record Concept:** Official records may be created and maintained electronically without ever being produced in hard copy. It is important to determine the final content of the official electronic record and to institute procedures to dispose of working copies, drafts, and duplicates when the final record is complete.

To reiterate, anything that would qualify as a state record is a state record, no matter on what system, whether personal, state, federal, or other, that record is created. Further, Section 552.004 of the Texas Government Code requires an officer, employee, or contractor of a government agency who creates or receives records on a privately-owned device or account to provide that information to the government's public information officer or officer's agent for the purpose of protecting information and ensuring transparency.

- d. **Active Record Versus Inactive Record:** A record can be either active or inactive.
 1. An active record is one that is maintained in the office of an agency for current daily operations and is referred to frequently
 2. An inactive record is one that does not need to be readily available, but it must be kept for administrative, fiscal, legal, historical, or governmental purposes
- e. **Convenience Copies or Non-Records:** Convenience copies or non-records are exact duplicates of a record. They are not subject to retention requirements and may be destroyed without submission of a Records Disposition Log Form. **Copies or non-records retained beyond the retention period become the official record by default and remain subject to legal and open records requests.**
- f. **Transitory Information:** Records of temporary usefulness that are not an integral part of a records series of an agency and are not essential to the fulfillment of statutory obligations or to the documentation of

agency functions are transitory. Some examples of transitory information, which can be in any media (instant messaging, voice mail, fax, email, hard copy, etc.) are routine messages; telephone message notifications; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.

4.2. Digital Records and Email Management

TMD's management of state digital records adheres to state law and the standards outlined in TSLAC Bulletin B. All electronic records systems used by the department to maintain state records must be capable of retaining metadata that accurately reflects the origin, nature, and chain of custody of the record. This includes the use of document properties such as file type, date created, user permissions, and version history.

Email records must be preserved based on the content of the message rather than its format. Any state email that documents an official decision, directive, transaction, or communication relevant to state business must be retained according to the applicable record series in the retention schedule. Programs and departments should use secure email archiving solutions to ensure compliance with these requirements of state records.

As technology evolves, TMD will employ appropriate migration strategies to ensure the accessibility of state records stored in obsolete formats or systems. These strategies must preserve the content, context, and structure of the original record. State records designated for destruction must be disposed of using methods appropriate to their format and sensitivity, such as digital wiping, degaussing, or the destruction of physical media.

4.3. Records Disposition Process and Form

State records created or managed by TMD must follow the Records Disposition Cycle, a systematic process established to ensure timely review and authorized disposal of state records that have fulfilled their required retention periods. The cycle begins with a review of the record inventory by the Records Custodian, followed by completion of a Disposition Log that identifies records eligible for destruction or transfer. The RMO must review and formally authorize all disposition actions. Convenience copies and transitory items are not official state records and may be disposed of at any time, without the use of the Disposition Form. Convenience copies should never be kept longer than the retention period for the record series. **No state record may be disposed of without completing the appropriate disposition process and securing necessary documents, forms, and authority.**

A state record may not be destroyed if any litigation, claim, negotiation, audit, open records request, administrative review, or other action involving the record is initiated or anticipated before the expiration of a retention period set by the commission or in the approved Records Retention Schedule of the agency until the completion of the action and the resolution of all issues that arise from the action, or until the expiration of the retention period, whichever is later.

If a records series has an archival code marked on the RRS, the records must be reviewed by Archives before destruction. Any record that does not appear on the TMD certified RRS, or a certified amendment, must receive authorization from the Texas State Library and Archives Commission prior to destruction. TMD's Records Management Officer, or the agency head, must receive approval for final disposition on a Request for Authority to Dispose of State Records form prior to destroying the records. Any department or program with a records series

that is not listed on the RRS should contact the Records Management Officer.

Additionally, no state record subject to legal hold, litigation, audit, or a pending public information request may be disposed of under any circumstance. Physical state records must be shredded or incinerated using secure methods, while electronic state records must be deleted in accordance with TSLAC and DIR-approved techniques.

- a. **Disposition Log Form:** Specific information must be entered on the TMD Records Disposition Log Form to properly dispose of state records. The form, which includes directions for completion, contains the following required fields:
 1. Record Number
 2. Record Series Title
 3. Retention Period
 4. Start
 5. End
 6. Action
 7. Quantity
 8. Date
 9. Initial

- b. **Documenting Disposition Activity:** Records Custodians/Liaisons are responsible for retaining and disposing of state records within a TMD department or program according to the retention schedule. Records Custodians/Liaisons typically prepare the Disposition Log Form. To prepare the initial Disposition Log Form, the Records Custodians/ Liaisons will:
 1. Fill in the required fields
 2. Sign the document
 3. Secure a supervisor's signature
 4. Submit the form to TMD's Records Analyst
 5. Await form return and authorization for records disposal

The Records Analyst reviews the form, secures the remaining signatures, including the RMO's, and sends the form back to the Records Custodian/Liaison. The signed form is the authorization to dispose of the record in an appropriate manner. The Records Custodian/Liaison must date and initial the disposition log, add the actual records destruction date, and send that copy back to the Records Analyst for retention. TMD must retain complete Disposition Logs for 10 years.

5-Program Administration

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5.1. Centralized State Records Management Program and Inventory

- a. **Agency-Wide State Records Program:** TMD will operate an integrated state records management program encompassing all divisions, with standardized policies, procedures, and retention schedules stored in a centralized location accessible to departmental liaisons.
- b. **Records Inventory and Retention Systems:** Each TMD state program is required to maintain an active state records inventory, listing all state records currently in storage, their classification, retention codes, and storage locations. This inventory should be reviewed at least annually and updated as needed to reflect changes in record type or format.
- c. **Centralized Digital Location:** A centralized digital location or website will house the agency's complete retention schedule, official disposition log forms, and policy documentation. Records Custodians/Liaisons will be provided with access to this system to support real-time record tracking and review preparation. This platform will provide a single resource for records tracking and disposition management, designed to promote consistency, transparency, and accountability throughout the records lifecycle.

5.2. State Records Center Services

The Records Center provides departments with cost-effective storage of inactive records in paper, electronic, and microfilm formats. The agency retains ownership of its records stored offsite and directly manages all material stored on its behalf. The agency can access and retrieve off-site material at any time.

- a. **Benefits of the Records Center:** Often, temporary record storage areas are hot, humid, dry, or subject to mildew. Many institutions lose vital records in such conditions. By contrast, storing inactive and low-use records off-site at the Records Center, in a properly and professionally maintained facility, ensures continuity in the event of a localized disaster. It also slows the deterioration of vital historically, legally, and fiscally relevant documents, thus providing increased peace of mind. Inactive records stored on-site are often poorly organized and cataloged, and in inconvenient locations. Inactive, low-use record storage in active office space is also inefficient and takes up space. Moving inactive and low-use records to the off-site Records Center frees up valuable office space for other uses. The reduction of risk to documents, savings, and cost-avoidance can be significant.
- b. **How to Access the Records Center:** Records Liaisons/Custodians who have inactive records that they would like to move off-site should contact the Records Analyst or Records Management Officer for guidance.

5.3. Data Security and Access Control

- a. **Access Controls:** TMD is committed to maintaining strict controls over access to all state records. Only authorized individuals may retrieve, modify, or delete state records, and such access must be governed by a role-based access control system. The respective IT Department(s) of programs and departments that have custody of state records will conduct periodic access reviews to ensure that permission remains current and appropriate. Sensitive state records must be stored separately and accessed only by those with proper

authorization.

Digital records containing sensitive information must be encrypted both in storage and during transmission. All critical data must be backed up regularly and stored offsite or on a secure, cloud-based server to ensure resilience in the event of a disaster or system failure.

- b. **Secure Storage and Environmental Controls:** Physical records ideally should be stored in secure, fireproof environments with properly regulated temperature and humidity controls. Electronic records containing sensitive information will be stored on encrypted servers, with semiannual testing of backup and recovery capabilities, or in secure cloud-based environments with appropriate access controls. Sensitive state records stored on federal systems must be maintained in accordance with federal guidelines and requirements.
- c. **Backup and Recovery Protocols:** Regular data backups must be stored securely offsite or on a cloud-based secure server, with an additional layer of encryption for sensitive information. Critical records are prioritized for disaster resilience.
- d. **Accessibility Standards:** TMD will store long-term or permanent state records either in appropriate hard copy form or, if electronic, in open-standard formats for compatibility with future technological changes.

6-Compliance and Legal

Revised: First Edition

6.1. Legal Holds and Public Information Requests.

Public records must be accessible in compliance with the Texas Public Information Act. When litigation, an investigation, or an audit involving state records is pending or anticipated, TMD Legal will issue a legal hold, suspending the normal disposition process for any affected state records. State records under legal hold must be preserved in their existing format and must not be altered, deleted, or moved until the hold is officially lifted. TMD Legal is responsible for communicating legal hold notices and maintaining a register of all records under hold. Staff must suspend any scheduled disposition activity related to those records and may not transfer, delete, or edit them without authorization from TMD Legal.

7-Specialized Records

Revised: First Edition

7.1. Website and Social Media Content Management

Any content published on TMD’s websites or official social media channels that constitutes a record must be retained and archived according to state law and TMD policy. Public records generated on TMD websites and social media platforms must follow the retention schedule and be archived as necessary to ensure accessibility. For example:

- a. **Social Media Posts:** Post announcing a new policy change.
Retention: Post must be retained in accordance with the retention schedule for policy announcements.
- b. **Website Updates:** Blog post on TMD’s website detailing an event involving the Texas National Guard.
Retention: Post should be retained. It is a public record of the event, even if the Texas National Guard is acting in a federal capacity. Representatives of the Texas State Library and Archives Commission advised retention of any such post made on a Texas Military Department page (or other social media site), even when the post describes the Texas National Guard engaged in a federal activity, because the site belongs to a Texas State agency (the Texas Military Department) and most users reading the public post will not distinguish between federal and state action.
- c. **Official Announcements:** Facebook post about an upcoming public meeting.
Retention: Retain the post to ensure it is accessible for future reference.
- d. **Multimedia Content:** Video posted on TMD’s YouTube channel showcasing a training session.
Retention: Video should be retained as it is a public record of the training session.

7.2. Electronic Communications Management

Texas Military Department state email guidelines, which will be available in a separate publication, apply to all TMD full and part-time state employees, including contractors, paid or unpaid interns, and third-party users of state network information resources. Generally, however, users must retain email records based upon the email’s content and the associated requirements of TMD’s State Retention Schedule for the particular content.

Under Texas law (Government Code Sections 441.180 and 552.002), an email is considered a state record if it documents the transaction of official business, regardless of the device, account, or platform used. The content of the message is the determining factor—not the format, storage location, or method of transmission.

- a. **An Email is a Record if It:**
 - 1. Communicates decisions, approvals, policies, procedures, or directives
 - 2. Documents the allocation or use of public resources

3. Provides evidence of an agency transaction, activity, or communication
4. Is used to complete or track a process (e.g., audit, procurement, personnel action)
5. Supports compliance, accountability, or historical reference

b. **Email Records Include (But are Not Limited to):**

1. Emails between employees discussing internal processes or policy interpretation
2. Communications with vendors or contractors related to contracts, deliverables, or invoices
3. Correspondence with other state agencies or public officials regarding programs, services, or legal compliance
4. Email containing approval or denial of requests, instructions, or delegation of tasks
5. Any email used in preparing or supporting another record (e.g., a budget worksheet or investigation file)

7.3. Vital Records and Disaster Preparedness

Vital records are essential to TMD's continued operation during and after an emergency or disaster. These records are necessary to: resume or continue core agency functions; recreate the agency's legal and financial status; and protect the legal rights of TMD and the individuals it serves. Examples of vital records include, but are not limited to, contracts, personnel records, emergency response plans, and key financial documents.

Agency Leaders and Program Heads must ensure that vital records are identified, protected, and accessible in the event of disruption. The RMO will plan and coordinate the Vital Records Program, including identifying, documenting, and ensuring the secure storage of vital records. Records Custodians/Liaisons must collaborate with the RMO to maintain accurate inventories of vital records and ensure they are stored in secure, environmentally controlled locations or systems.

a. **Storage and Protection:** Vital records should be:

1. Stored in secure, fireproof, and climate-controlled environments
2. Backed up regularly if in digital format, with off-site or cloud-based redundancy
3. Clearly labeled and indexed for rapid retrieval during emergencies

For microfilm or microfiche formats, acid-free containers must be used to ensure long-term durability.

b. **Disaster Recovery Planning:** TMD will maintain a **Records Recovery Plan** as part of its broader disaster preparedness strategy. This plan will include:

1. Procedures for restoring damaged records to a usable condition
2. Coordination with IT and facilities teams to ensure continuity of access
3. Regular testing of backup and recovery systems for digital records

Departments must ensure that temporary storage areas do not expose records to risks such as humidity, mildew, or fire. Inactive but vital records should be transferred to the State Records Center or other approved off-site storage to mitigate environmental risks.

8-Training and Governance

Revised: First Edition

8.1. Records Management Training

Comprehensive records management training is mandatory for all TMD state employees and any other TMD employees who create, maintain, protect, or store state records. Initial training must be completed within thirty (30) calendar days of hire and must cover state records responsibilities, Public Information Act (PIA) requirements, digital record handling, and retention basics. Annual refresher training is required after completion of initial training.

- a. **Role-Specific Training for Records Custodians/Liaisons.** This training will include advanced topics such as metadata management, file plan administration, legal hold compliance, and audit preparation.
- b. **Interactive Learning and Regular Knowledge Checks:** Knowledge checks, training, and workshops will reinforce records management concepts, including email and social media management best practices.

Digital Access to Training Resources: An internal learning portal will house all relevant training materials, FAQs, policy documents, and guidance tools to ensure that state records management knowledge remains accessible and up to date.

8.2. Guidance Review and Revision Process

This guidance will be reviewed at least annually and updated as needed to reflect changes in law, technology, or operational priorities. All updates will be version-controlled, documented, and announced to employees via internal communications. Training will accompany any major revisions, and updated guidance will be posted to the internal Records Training Portal.

Employees are encouraged to provide feedback on this guidance to the RMO and may submit suggestions or concerns at any time. A continuous improvement mindset is essential to keeping the agency's records program strong and responsive to future challenges.



TEXAS MILITARY DEPARTMENT

State Records Management
Number 1200.01

Appendix 1

Records Retention Schedule (RRS) Guidance

26 March 2026

A1-Records Retention Schedule (RRS) Guidance

Revised: First Edition

1.1. Guidance

Purpose

This appendix provides guidance on the development, use, and maintenance of the Texas Military Department (TMD) Records Retention Schedule (RRS). It supports Section 5 of this publication and ensures compliance with the Texas Government Code, Chapter 441.

Records Retention Schedule Overview

The Records Retention Schedule (RRS) is the official document that identifies all state records maintained by TMD and establishes the minimum retention periods for each record series. The RRS ensures that records are retained for the appropriate length of time to meet administrative, legal, fiscal, and archival requirements.

Records Retention Schedule Form (SLR 105)

TMD uses the State of Texas Records Retention Schedule (SLR 105) form, or an approved equivalent, to document retention requirements. Each record series must be documented using the required fields outlined below.

Explanation of RRS Fields

The Records Retention Schedule form contains the following required fields:

- a. Agency Code – Identifies the agency. TMD’s agency code is 401.
- b. Agency Name – Texas Military Department.
- c. Agency Item Number – Internal tracking number assigned by TMD.
- d. Records Series Item Number – The five-digit number assigned from the Texas State Records Retention Schedule.
- e. Records Series Title – The official title of the records series. This title must remain consistent throughout the life cycle of the records.
- f. Records Series Description – A detailed description of the records series, including content and purpose.
- g. Retention Code – Indicates the archival value of the records using established archival codes.
- h. Retention Period – Specifies how long records must be retained, including:
 1. In-office retention period

2. Offsite retention period
3. Total retention period

- i. Archival Code Definitions – Defines the archival designation assigned to the records.
- j. Archival Status – Identifies whether the records are archival or non-archival.
- k. Remarks – Provides additional information, including relevant notes or special handling requirements.
- l. Legal Citations – Lists applicable statutes, regulations, or policies that justify the retention period.

Retention Codes

Retention codes define how long a records series must be maintained. These codes are based on operational, legal, fiscal, and historical requirements. Retention periods must meet or exceed the minimum requirements established by the Texas State Records Retention Schedule.

Examples include:

1. FE – Fiscal year end
2. AC – After closed
3. AV – After audit
4. CE – Calendar year end

Retention periods must be applied consistently and documented clearly in the RRS.

Archival Codes

Archival codes indicate whether records have historical value and must be preserved. These codes are assigned based on guidance from the Texas State Library and Archives Commission (TSLAC).

Examples include:

1. A – Archival
2. R – Review required
3. N – Non-archival

Records marked as archival must be reviewed by appropriate archival authorities prior to disposition.

Example Records Series Entry

The following is an example of a properly documented records series:

Records Series Title: Contracts and Agreements
Records Series Item Number: 1.1.057
Retention Period: 7 years after expiration
Retention Code: AC
Archival Code: N

Remarks: Retain longer if subject to litigation or audit
Legal Citation: Texas Government Code Section 441.1855

Compliance Requirements

All records maintained by TMD must be listed on an approved Records Retention Schedule. In accordance with Texas Government Code Section 441.1855:

- a. Each Records Management Officer shall survey agency records and prepare a retention schedule.
- b. The retention schedule must:
 - (1) List all records created and received by the agency
 - (2) Establish retention periods for each records series
 - (3) Provide information necessary for an effective records management program

Failure to maintain and follow an approved RRS may result in non-compliance with state law and may require additional approvals prior to records disposition.

Responsibilities

- a. Records Management Officer (RMO) – Oversees development, submission, and maintenance of the RRS.
- b. Records Analyst – Assists with records inventory, classification, and documentation.
- c. Records Custodians/Liaisons – Provide updates and ensure records are managed according to the RRS.
- d. All Employees – Must follow retention requirements and ensure proper handling of state records.

The official Records Retention Schedule (SLR 105) and Certification Form (SLR 105C) are maintained separately and must be used in their original format as required by the Texas State Library and Archives Commission (TSLAC). These forms shall not be altered.

[Recertification Packet for RMO.pdf](#)



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State Records Management
Number 1200.01

Appendix 2

Records Disposition Log Instructions

26 March 2026

A2-Records Disposition Log Instructions

Revised: 09/01/2023

2.1. Guidance

a. Purpose

This appendix provides guidance on the proper completion and use of the Records Disposition Log. It supports the records-disposition process outlined in this publication and ensures compliance with the Texas Government Code, Chapter 441.

b. Overview

The Records Disposition Log is the official record used to document the destruction or transfer of state records after the approved retention period has been met. All disposition actions must be documented to ensure accountability, transparency, and legal compliance.

c. Disposition Authorization Requirements

Before any records are destroyed or transferred, the following requirements must be met:

1. The records must be listed on an approved Records Retention Schedule (RRS).
2. The retention period must be fully satisfied.
3. The records must not be subject to a legal hold, audit, public information request, or investigation.
4. All required approvals must be obtained prior to disposition.

d. Disposition Log Process

The disposition process shall be completed using the following steps:

1. Identify records eligible for disposition based on the approved Records Retention Schedule.
2. Verify that the retention period has been met and no legal or administrative holds exist.
3. Complete the Records Disposition Log with all required information.
4. Submit the disposition log for review and approval by the Records Management Officer (RMO) or designated authority.
5. Upon approval, proceed with the authorized destruction or transfer of records.
6. Ensure destruction is carried out in a secure manner appropriate to the sensitivity of the

records.

7. Retain the completed disposition log as official documentation of the action taken.

e. Required Data Elements

The Records Disposition Log must include, at a minimum, the following information:

1. Agency Item Number (AIN)
2. Records Series Title
3. Records Series Item Number (RSIN)
4. Date Range of Records
5. Retention Period
6. Disposition Date
7. Method of Disposition (e.g., destruction, transfer)
8. Volume or Quantity of Records
9. Approval Signatures

f. Disposition Methods

Records disposition must be conducted in accordance with approved methods, including:

1. Destruction – Records are permanently destroyed in a manner that ensures confidentiality and prevents reconstruction.
2. Transfer – Records of archival value are transferred to an authorized archival repository.

g. Compliance Requirements

All disposition activities must comply with applicable laws and regulations, including Texas Government Code, Chapter 441. Failure to properly document records disposition may result in legal and administrative consequences.

h. Responsibilities

1. Records Management Officer (RMO) – Reviews and approves disposition logs and ensures compliance with records management requirements.

2. Records Custodians/Liaisons – Identify eligible records and prepare disposition documentation.

3. All Employees – Ensure records are not destroyed without proper authorization and documentation.

i. **Records Retention of Disposition Logs**

Disposition logs are themselves state records and must be retained in accordance with the approved Records Retention Schedule.

2.1. Disposition Log

[LG-Disposition-Template.docx](#)



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State Records Management
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Appendix 3

Records Inventory and File Plan Guidance

26 March 2026

A3- Records Inventory and File Plan Guidance

Revised: First Edition

3.1. Guidance

a. Purpose

This appendix provides basic guidance on identifying, organizing, and managing records using a records inventory and file plan. It supports the development and maintenance of the Records Retention Schedule (RRS).

b. Records Inventory

A records inventory is the process of identifying and documenting records maintained by an office or program.

The inventory should capture, at a minimum:

1. Record series title
2. Description of records
3. Location (electronic or physical)
4. Responsible office or custodian
5. Associated retention period

The inventory ensures that all records are properly accounted for and aligned with the approved Records Retention Schedule.

c. File Plan

A file plan is a structured method for organizing records based on their function and retention requirements.

File plans should:

1. Group records by function or program
2. Align records with the appropriate records series on the RRS
3. Identify where records are stored
4. Support consistent naming and organization practices

d. Relationship to Records Retention Schedule

All records identified in the inventory and file plan must correspond to an approved records series on the Records Retention Schedule.

If a record is not listed on the RRS, it must be evaluated and added through the appropriate records management process.

e. Responsibilities

1. Records Management Officer (RMO) – Provides guidance and oversight for records inventory and file plan development.
2. Records Custodians/Liaisons – Maintain inventories and ensure records are organized in accordance with the file plan.
3. All Employees – Maintain records in accordance with established file plans and retention requirements.



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Appendix 4

Records Disposition Decision Flow

26 March 2026

A4- Records Disposition Decision Flow

Revised: First Edition

4.1. Guidance

a. Purpose

This appendix provides a simplified decision-making process for determining whether records may be destroyed or transferred. It supports compliance with Texas Government Code, Chapter 441, and ensures that records are not disposed of improperly.

b. Disposition Decision Process

Records disposition shall follow the decision process outlined below:

1. Is the information a state record?

If NO – The information may be deleted when no longer needed, in accordance with agency practices.

If YES – Proceed to Step (2).

2. Is the record listed on an approved Records Retention Schedule (RRS)?

If NO – Do not destroy the record. Contact the Records Management Officer (RMO) for evaluation and inclusion in the RRS.

If YES – Proceed to Step (3).

3. Has the retention period been met?

If NO – Retain the record until the retention period is satisfied.

If YES – Proceed to Step (4).

4. Is the record subject to a legal hold, audit, public information request, or investigation?

If YES – Do not destroy the record until the hold or requirement is resolved.

If NO – Proceed to Step (5).

5. Does the record have archival value?

If YES – Transfer the record to the appropriate archival authority in accordance with approved procedures.

If NO – Proceed to Step (6).

6. Has the disposition been documented and approved?

If NO – Complete and obtain approval of the Records Disposition Log prior to any action.

If YES – Proceed to Step 7.

7. Dispose of the record.

Records may be destroyed securely or transferred as appropriate. All actions must be documented in accordance with the Records Disposition Log requirements.

c. Compliance Requirements

All records disposition actions must be documented and carried out in accordance with the approved Records Retention Schedule and applicable laws. Unauthorized destruction of state records is prohibited and may result in legal and administrative consequences.

d. Responsibilities

1. Records Management Officer (RMO) – Provides oversight and ensures proper disposition procedures are followed.

2. Records Custodians/Liaisons – Verify eligibility and initiate disposition actions.

3. All Employees – Ensure records are not destroyed without proper authorization.