

February 1, 2021



Gretta McClain Gibbs
Director of Accounting Services
University of Houston System
5000 Gulf Fwy, Bldg 1 Rm 213
Houston, Texas, 77204

Dear Gretta McClain Gibbs

Your agency's records retention schedule is approved for use as of **1/27/2021**, and may be accessed on our website at <https://www.tsl.texas.gov/slrn/state/schedules>. Please ensure that all old copies of the schedule are superseded with this certified copy.

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

Each agency schedule must be reviewed, updated, and submitted for recertification according to a timeline established by the Texas State Library and Archives Commission. Your next recertification is scheduled for **1/2026**.

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

Joslyn Ceasar
512-463-5477
jceasar@tsl.texas.gov

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

Sincerely,

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

Craig Kelso
Director and State Records Administrator

cc: Agency head

Lorenzo de Zavala
State Archives and
Library Building

1201 Brazos Street
Austin, Texas
78701

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

www.tsl.texas.gov

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TSLAC

Preserving yesterday
Informing today
Inspiring tomorrow

SLR 105C

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



STATE OF TEXAS

Records Retention Schedule Certification

Section 1. Agency Information

(Submitting agencies complete this section only)

Agency Code 783

Agency Name University of Houston System

(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 Gretta McClain Gibbs

Name (Print or type) Gretta McClain Gibbs

Date 09/09/20

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 Not Required at This Time

Name (Print or type)

Date

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

Signature Gloria Merae

Name (Print or type) Gloria Merae

Date 1/27/2021

Cert/Recert No. 7 Amendment No.

CAUTION

A state record with an expired retention period may not be destroyed if any litigation, claim, negotiation, audit, public information request, administrative review, or other action involving the record is initiated; its destruction shall not occur until the completion of the action and the resolution of all issues that arise from it.

A state record with a retention period that expires during any litigation, claim, negotiation, audit, public information request, administrative review, or other action involving the record may not be destroyed until the completion of the action and the resolution of all issues that arise from it.

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

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





STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

Retention Codes (field 7)

AC – See field 9 for specific records series definition
 AV – Administratively valuable
 CE – Calendar year end
 FE – Fiscal year end
 LA – Life of Asset
 PM – Permanent
 US – Until Superseded

Archival Codes (Field 10)

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

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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
					Years	Months	Days				
2	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.(Not State Auditor Reports, Opinions, Correspondence).	AC	7			AC=Publication or release of final audit findings.		The State Auditor's Office retains any copies of its audits performed on Texas state agencies.	
4	1.1.004	Legislative Appropriations Requests	Biennial Budget 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	University retains record copy. 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.	



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500	1.1.006	Complaint Records	Complaints received by an agency from the public concerning the University and records pertaining to the resolution of the complaint.	AC	2			AC= Final disposition of the complaint.		CAUTION: If a complaint becomes the subject of litigation, it must be included in and is subject to the minimum retention period of item number 1.1.048.	



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6	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	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 and item number 1.1.008 should be used only for correspondence that is not included in or directly related to another records series on the agency's approved schedule. For example, a memorandum that documents an appropriations request must be retained for the minimum retention period prescribed by item number 1.1.004; a letter concerning an audit for that prescribed by item number 1.1.002, etc. SEE ALSO item number 1.1.011.	



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7	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, services, or projects of an agency.		2					SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010	
8	1.1.010	Directives	Any document that officially initiates, rescinds, or amends general office procedures.	US	1						
9	1.1.011	Executive Orders	Any document that initiates, rescinds, or amends a regulation, policy, or procedure that governs the programs, services, or projects of an agency.	US	3				A		



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11	1.1.013	Calendars, Appointment, and Itinerary Records	Calendars, appointment books or programs and scheduling, or itinerary records, purchased with state funds or maintained by staff during business hours that document appointments, itineraries, and other activities of agency officials or employees.	CE	1				R	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board of commission members, division directors, and program heads require archival review. Contact the State Archives when these records have met their retention periods. CAUTION: A records of this type purchased with personal funds, but used by a state official or employee to document his or her work activities may be a state record and subject to this retention period. See Open Records Decision 635 issued in December 1995 by the Attorney General.	



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12	1.1.014	Legal Opinions and Advice (Attorney General & University Legal Counsel)	From agency legal counsel or the Attorney General, including any requests eliciting the opinions.	AV					R	CAUTION: Does not include legal opinions or advice rendered on a matter in litigation or with regard to pending litigation. SEE item number 1.1.048.	
17	1.1.019	Public Relations Records	News, press releases, or any public relations files maintained or issued by an agency. Includes print, electronic, audio, and audiovisual records.		2				R		
18	1.1.020	Public Information Requests - Not Exempted	Includes all correspondence and documentation relating to requests for records that are furnished to the public under Public Information Act (Chapter 552, Government Code).	AC	1			AC=Date request fulfilled.			
19	1.1.021	Public Information Requests - Exempted	Includes all correspondence and documentation relating to requests for records that are exempt under the Public Information Act (Chapter 552, Government Code).	AC	2			AC=Date of notification that records are exempt.			



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21	1.1.023	Organization Charts	Charts or diagrams that show the structure of an agency and the relationships and relative ranks of its department and job positions	US					A	ARCHIVES NOTE: Only charts showing the overall arrangement and administrative structure of the state agency need to be transferred to the Archives and Information Services Division, Texas State Library and Archives Commission. Organizational charts showing division/department level detail are not considered archival.	
22	1.1.024	Plan and Planning Records	Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC	3			AC = Decision made to implement or not to implement result of planning process.	R	ARCHIVES NOTE: Data processing planning records are not archival.	
502	1.1.026	Texas Register Submissions	Copies of all proposed, withdrawn, emergency, and adopted rules; open meetings notices; or any other documents required by law to be submitted to the Texas Register.	AC	1			AC=Date of publication in the Texas Register.			



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24	1.1.027	Proposed Legislation	Drafts of proposed legislation and related correspondence.	AV							
503	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				AC=End of term in office or termination of service in a state position.			
32	1.1.040	Speeches, Papers and Presentations.	Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	2			AC = End of term in office or termination of service in a state position.	R		
34	1.1.043	Training Materials	Instructional materials and other records developed by an agency associated with training the entities or non-personnel individuals it regulates or serves, including but not limited to training manuals, course registration, class rosters, sign-in sheets, syllabuses, course outlines, and similar training aids used in external training programs.	AC	1			AC = Close of training session, after training materials superseded, or termination of training program, as applicable. See RSIN 3.3.030 for internal personnel training materials. CAUTION: Does not include hazardous material training records. See RSIN 5.4.007.			



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389	1.1.048	Litigation Files	Records created by or on behalf of an agency in anticipation of or in the adjudication of a lawsuit.	AC	1			AC = As applicable, decision of an agency not to file a lawsuit or decision that a lawsuit will not be filed against it on a matter; dismissal of a lawsuit for want of prosecution or on motion of the plaintiff; or final decision of a court (or of a court on appeal, if applicable) in a lawsuit.	R	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.	
505	1.1.053	Registration Logs	Logs or similar records used to register persons appearing before state agencies as required by Chapter 2004, Government Code, including quarterly reports filed with the Texas Ethics Commission.	AC				AC=Report filed with the Texas Ethics Commission.			
456	1.1.055	Strategic Plans	Information resources and operational strategic plans prepared in accordance with 2054.095 and 2056.002, Government Code.	AC	6			AC=September 1 of odd-numbered calendar years.	A	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.	



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506	1.1.056	ADA (Americans with Disabilities Act) Documentation	Self evaluations and plans documenting compliance with the requirements of the Americans With Disabilities Act.		3						28 CFR 35.105



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383	1.1.057	Transitory Information	<p>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.</p> <p>Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; telephone message notifications; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.</p>	AC				AC=Purpose of record has been fulfilled.		<p>CAUTION: Records management officers should use caution in assigning this record series item number to records of an agency to make certain they are not part of another record series listed in this schedule or, for record series unique to an agency, are not part of a record series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions.</p> <p>The disposal of transitory information need not be documented through destruction signoffs (1.2.001) or in records disposition logs (1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (1.2.014).</p>	



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15	1.1.058	Meeting Agenda and Minutes	Official agenda and minutes of state boards, committees, commissions, and councils that conduct open meetings as required by Government Code, Chapter 551.	PM					A	ARCHIVES NOTE: Agency retains permanent record copy. The archival requirement will be met by sending a copy to the Archives and Information Services Division, Texas State Library and Archives Commission. CAUTION: This records series and item numbers 1.1.059, 1.1.060, 1.1.061, and 1.1.062 must be used for those state boards, committees, commissions, and councils, which by law, or the biennial Appropriations Act, are administered by another state agency. These records and all others related to the functions of any of these dependent entities must be included in the records retention schedule of the administering agency.	



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507	1.1.059	Meetings, Agendas and Minutes or Audiovisual Recordings of Closed	Agendas, minutes, or audiovisual recordings of closed meetings of state boards, commissions, committees, and councils.	AC	2			AC= The date of the meeting or completion of pending action involving the meeting, whichever is later.		Government Code, 551.104(a). SEE caution comment at item number 1.1.058.	
358	1.1.060	Meetings, Audiovisual Recordings of Open	Audiovisual recordings of open meetings of state boards, commissions, committees, and councils.	AC			90	AC = Official approval of written minutes of the meeting by the governing body of an agency.		CAUTION: Minutes of state agencies are permanent records. Audio and videotapes are not permanent media. State agencies may not retain audio or videotapes of the meetings of governing bodies in lieu of written minutes. The proceedings of all meetings of state boards, committees, commissions, and councils must be reduced to writing. SEE caution comment an item number 1.1.058.	
508	1.1.061	Meeting-Notes	Notes taken during open meetings of state boards, commissions, committees, and councils from which written minutes are prepared.	AC			90	AC= Approval of the formal minutes by the governing body, SEE caution comment at item number 1.1.058.		SEE caution comment at item number 1.1.058.	



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509	1.1.062	Meetings-Supporting Documentation	Documents submitted at meetings of state boards, commissions, committees, and councils including exhibit items, documentation for agenda items, etc. Includes documents sent in advance of meetings for briefing purposes, some of which may not be submitted at an actual meeting.		2				A	SEE caution comment at item number 1.1.058.	
16	1.1.063	Staff Meetings Minutes and Notes	Minutes or notes, and supporting documentation, taken at internal agency staff meetings.		1						
457	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					CAUTION: The FE +3 period overrides any shorter retention period for records series in this schedule if the record series is needed for documentation of agency performance measures.	



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510	1.1.065	Reports and Studies (Non-Fiscal) Raw Data	Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV						CAUTION: Does not include source documentation used for the information or data included in or directly related to another records series in this schedule. SEE especially item number 1.1.064.	
28	1.1.066	Reports – Biennial or Annual Agency (Narrative)	Biennial narrative reports to the governor and legislature as required by an agency enabling statutes, including annual narrative reports if they are required by statute.	AC	6			AC=September 1 of odd-numbered calendar years.	A	September 1 of odd-numbered calendar years. ARCHIVES NOTES: The archival requirement is met by sending the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission.	



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30	1.1.067	Reports and Studies (Non-Fiscal)	Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.		3				R	ARCHIVES NOTES: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, A, R, or E. SEE page ix for more information.	
292	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 add-numbered calendar years.			
5	1.1.069	Reports-Activity	Reports compiled by agency personnel on a daily or other periodic basis pertaining to workload monitoring, task completion times, number of public contacts, and similar activities.		1					CAUTION: SEE item number 1.1.064	



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23	1.1.070	Agency Rules, Policies, and Procedures-Final	Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern and agency's programs, services or projects. Includes working files and related documentation used in creating rules, policies, and procedures	AC	3			AC = Until superseded or termination of program, rules, policies or procedures.	R		
511	1.1.072	Public Information Reports	Reports made to the Office of Attorney General on an agency's Public Information Act activities.		2						
512	1.1.073	Administrative Hearings	Transcripts and final decisions of hearings conducted as part of the regulatory process, and hearings on proposed rules and changes. The records may be maintained with related information, including meeting notices, proofs of publication, and meeting minutes.	AC	3			AC=Last action.	R		



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513	1.1.074	Sunset Review Report and Documentation		AC	3			AC=After the subsequent Sunset Review.	R		
514	1.1.075	Alternative Dispute Resolutions-Final Agreement	Final Agreement described by Government Code 2009.053©, associated with a matter conducted under an alternative dispute resolution procedure in which personnel of a state agency participated as a party on the agency's behalf.	AC	4			AC=Date of final agreement.		Texas Civil Practice and Remedies Code, Chapter 154.071	
900	1.1.076	Subpoenas	Subpoenas for production of evidence produced for litigation in which the state agency is not a party. Includes legal documents requiring recipient to appear in court to testify, or to produce records to be used in litigation.	AC				AC=Date of final agreement.		For subpoenas related to litigation in which the state agency is a party, see RSIN 1.1.048.	
901	1.1.077	Release of Records Documentation	Records that document the release of records or information through any method other than a Public Information Act request or subpoena (including employment verification).	AC				AC= Date records released		See RSIN 1.1.020 for records released under the Public Information Act. See RSIN 1.1.076 for records produced for a subpoena. See RSIN 1.1.048 for records produced for litigation.	



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902	1.1.078	Waivers of Liability	Waivers of liability, including statements signed by volunteers acknowledging non-entitlement to benefits, agreeing to abide by state agency policies, etc.	AC	3			AC=Date of cessation of activity for which the waiver was signed		CAUTION: If an accident occurs to any person covered by a signed waiver of liability, it must be retained for the same period as accident reports. See RSIN 5.4.001 and 5.4.014.	
36	1.2.001	Destruction Authorizations	Documents authorizing final disposition of records under a certified records retention schedule. Records may also include destruction authorizations (e.g. form RMD 102) approved by Texas State Library and Archives Commission..	FE	3					CAUTION: If destruction authorizations are maintained as part of RSIN 1.2.010 (Records Disposition Logs), then longer retention period applies	
515	1.2.003	Forms History File	Print masters of original version and subsequent revisions to an agency form, including any associated design with or design modification requests.	AC	2			AC=Discontinuance of use of form.			
38	1.2.005	Records Retention Schedule (SLR 105)	Agency copy. Formerly RMD 105. Includes documentation of certification and approval - forms SLR 105C (formerly RMD 105C), and/or other forms designated by the State Records Administrator.	US						Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission.	



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517	1.2.006	Records Transmittal Forms	Agency copy (includes RMD 101, TX R-5, 306-58-1, and Agency Storage Forms). Forms indicate records transferred to storage or a transfer of legal custody.	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.			
350	1.2.010	Records Disposition Logs	Logs or similar records listing records 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						
518	1.2.011	Record Center Storage Approval Forms (RMD 106)	Agency Copy.	US							
270	1.2.012	Records Inventory Worksheets		US							



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519	1.2.013	Records Control Locator Aids	Includes indexes, card files, shelf lists, registers, guides, etc.	AC				AC=When control aid is updated, revised, or no longer needed. CAUTION: These records must carry the same retention period and archival code of the records they support.			
271	1.2.014	Records Management Policies and Procedures	Records management plans and similar records that establish the policies and procedures under which records and information are managed in an agency.	US	1						
520	1.2.015	Disaster Recovery Service Transmittals (RMD 109)	Transmittals and related service documentation for disaster recovery services provided by TSLAC other entities.	FE	1						
521	1.2.016	Disaster Recovery Service Approval Form (RMD 113)	Forms used by TSLAC (e.g. form RMD 113) or other entities to establish disaster recovery services, authorize agency staff to access the media, etc.	AC				AC=Until superseded or termination of service.			



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26	1.3.001	State Publications	One copy of each state publication as defined on page xi of this schedule, except a publication that is subject to a different retention period in this schedule. For example, a meeting agenda (see item number 1.1.058) also meets the definition, but it must be retained permanently; item numbers 1.1.004, 1.1.055, 1.1.066, 1.1.068. and 4.5.003, which also meet the definition, are closely associated with the appropriations process and must be retained AC +6.	AC	2			AC= Until suspended or obsolete.		University retains record copy and sends required copies to Publications Depository Program, Texas State Library and Archives Commission. CAUTION: Many state publications must be submitted to the Texas State Publications Depository Program, Texas State Library and Archives Commission, by Law (Government Code 441.103-441.105). The Texas State Library and Archives Commission will retain copy of all state publications submitted to it on a continuing basis, subject to periodic evaluation to determine if the publication merits further retention. For additional information and requirements concerning state publications made available to the public through the Internet, consult the administrative rules of the Texas State Publications Depository Program of the Texas State Library and Archives Commission (13 TAC 3.1-3.8)	



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25	1.3.002	Publication Development Files	Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV					R		
44	2.1.002	Master Files and Application Data	Relatively long-lived computer files containing organized and consistent sets of complete and accurate electronic records. Examples include, but are not limited to, data tables of relational databases used by applications or computer programs.	AC				AC= Until electronic records are transferred to and made usable in a new system environment, or there are no electronic records being retained to meet an approved retention period established in this schedule that require the use of the system.		CAUTION: Records management officers must be certain before assigning the retention period of AC to agency automated processing files that the file do not fall under records series listed elsewhere.	
49	2.1.007	Computer Software Programs	Agency-developed automated software applications, operating system files, and associated processing files, including job control language, programs, applications, scripts, source code, etc.	AC				AC = Until electronic records are transferred to and made usable in a new software environment or there are no electronic records being retained to meet an approved retention period that require the software to be retrieved and read.		CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.	13 TAC 6.94.



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54	2.1.008	Computer Hardware Documentation	Records documenting operational and maintenance requirements of computer hardware such as operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems, and associated processing files.	AC				AC = Until electronic records are transferred to and made usable in a new hardware environment or there are no electronic records being retained to meet an approved retention period that require the software to be retrieved and read.		CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.	13 TAC 6.94.



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48	2.1.009	Hardware and Software Technical Documentation	Records adequate to specify all technical characteristics necessary for reading or processing of electronic records and their timely, authorized disposition including documentation describing how a system operates and necessary for using the system such as user guides, system or sub-system definitions, system specifications, input and output specifications, and system flow charts; program descriptions and documentation such as program flowcharts, program maintenance logs, change notices, and other records that document modifications to computer programs; and data documentation necessary to access, retrieve, manipulate, and interpret data in an automated system such as a data element dictionary, file layout, code book or table, and other records that explain the meaning, purpose, structure, logical relationships, and origin of the data elements.	AC				AC = Until electronic records are transferred to and made usable in a new software environment or there are no electronic records being retained to meet an approved retention period that require the documentation to be retrieved and read.		CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.	13 TAC 6.94.



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522	2.1.010	Audit Trail Records	Files needed for electronic data audits such as files or reports showing transactions accepted, rejected, suspended, and/or processed; history files/tapes; records of on-line updates to application files or security logs.	AC				AC = All audit requirements have been met.			
50	2.2.001	System or Computer Monitoring Records	Hardware and software components for monitoring agency's computer system resources and performance.	AV						The disposal of monitoring records that are automatically overwritten need not be documented through destruction authorizations (RSIN 1.2.001) or in records disposition logs (RSIN 1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (RSIN 1.2.014)	



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524	2.2.002	Chargeback Records to Data Processing Services Users.	Records used to document, calculate costs, and bill program units for computer usage and data processing services. These records are also used for cost recovery, budgeting, or administrative purposes.	FE	3						
525	2.2.010	Date Processing Policies and Procedures	Manuals, guidelines, or similar documents establishing data processing policies and procedures in an agency in such areas as access and security, systems development, data retention and disposition, data ownership, production control, system back-up, etc.	US	3					CAUTION: Does not include technical documentation of procedures necessary for reading or processing of electronic records. SEE item number 2.1.009.	
45	2.2.011	Data Input Documents	Forms and logs used to reconcile batches submitted for processing against batches received and processed.	AC				AC=When reconciliation confirmed.			



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527	2.2.013	Quality Assurance Records	Information verifying the quality of system, hardware, or software operations including records of errors or failures and the loss of data resulting from such failures, documentation of abnormal termination and of error free processing, checks of changes put into production, transaction histories, and other records needed as an audit trail to evaluate data accuracy.	AC				AC= No longer needed as an audit trail for any records modified.		For quality control records related to non-IT procedures, see RSIN 5.2.018.	
528	2.2.014	Internet Browser Files	A record of web pages visited during an internet session, including data files of user-specific information created by the webserver, that allows users to access previously visited pages more quickly or to generate a record of usage of a state-owned computer.	AV						The disposal of internet history records need not be documented through destruction authorizations (RSIN 1.2.001) or in records disposition logs (RSIN 1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (RSIN 1.2.014).	



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530	2.2.016	Software Registrations, Warranties, and License Agreements	Records documenting the registration and licensing of a software application to activate the software for legal use by the end users of a state agency, along with warranties providing that the software will perform in accordance with functional specifications.	LA	3						
903	2.2.017	Help Desk Tickets	Records documenting the request for and response to help desk tickets received by divisions or units, such as information technology.	AV							
904	2.2.018	Biennial Information Security Plan	Biennial information security plan for protecting the security of the agency's information.	US							1 TAC 202.23; 1 TAC 202.73.
56	3.1.001	Applications for Employment -Not Hired	Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.	AC	2			AC= Date of the making of the record or the personnel action involved, whichever occurs later.		CAUTION: Does not include ADA Accommodation Requests. See RSIN 3.1.042.	29 CFR 1602.31 [State Agencies] . 29 CFR 1602.49(a) [State Universities].



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57	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.			
531	3.1.006	Employee Counseling Records	Notes, memoranda, or reports relating to the counseling of an employee for work-related, personal, or substance abuse problems. Usually maintained at the supervisory level except in those agencies with counseling staff.	AC	3			AC=Termination of counseling.			
64	3.1.011	Employee Insurance Records	Agency copies of information relating to the selection by employees of life, disability, health, and other types of insurance offered by the State of Texas to its employees.	AC				AC= Until superseded or termination of employment.		CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item number 3.2.001.	



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65	3.1.012	Employment Opportunity Announcements	Internal or external announcements or advertisements of job openings, promotions, training programs, or opportunities for overtime.		2						29 CFR 1602.31(a) [State Agencies]. 29 CFR 1602.49 (a) [State Universities].
66a	3.1.013	Employment Contracts Executed, renewed, or amended on or after September 1, 2015.		AC	7			AC=Expiration or termination of the contract according to its terms.			SB20(84th Leg)
66b	3.1.103	Employment Contracts Executed, renewed, or amended on or before August 31,2015		AC	4			AC=Expiration or termination of the contract according to its terms.			SB20(84th Leg)



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67	3.1.014	Employment Selection Records	Includes notes of interviews with candidates; questions asked of applicants; audio and videotapes of job interviews; driving record and previous injury checks; pre-employment physical examinations; polygraph examination results; and all other records that document the selection process, except for those noted in Remarks.	AC	2			AC= Date of the making of the record or the personnel action involved, whichever occurs later.		CAUTION: Does not include criminal history checks. SEE item number 3.1.026. Does not include drug screening test results; see RSIN 3.1.040a/b/c . Does not include pre-employments skills tests; see RSIN 3.3.027 and 3.3.028.	29 CFR 1602.31 [State Agencies]. 29 CFR 1602.49(a) [State Universities].
70	3.1.018	Grievance Records	Records relating to the review of employee grievances against personnel policies, working conditions, etc.	AC	2			AC=Final decision on the grievance.		CAUTION: Does not include formal complaints filed by an agency employee with the Equal Employment Office (EEO) of the U. S. Department of Labor. SEE item number 1.1.048.	
71	3.1.019	Performance Appraisals	Job evaluations, performance appraisals, or other similar documents used to evaluate the performance of an employee.		2						29 CFR 1620.32(c).



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532	3.1.020	Personnel Corrective Action Documentation	Corrective Actions are those actions which do not affect pay, status, or tenure and are imposed to correct or improve an employee's job performance.	AC	5			AC=Termination of corrective action.		CAUTION: If, during the retention period of this records series, any part of this series is used to document and support personnel disciplinary action under item number 3.1.021. all documentation from this series used to support disciplinary action must be retained for the minimum retention period described by item number 3.1.021.	



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72	3.1.021	Personnel Disciplinary Action Documentation	Disciplinary actions are those actions which may affect pay, status, or tenure. They are imposed to discipline an employee whose conduct is harmful to the best interests of the state, the agency, or the employee work force; and for failure to improve performance or conduct following imposition of corrective action. May include cause for demotion, suspension, or dismissal, and the reasons for failure to give written notice of resignation. May also be used to document evidence of employee self-improvement efforts, as well as favorable and unfavorable communication.	AC	5			AC=Termination of employment.			



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73	3.1.022	Personnel Information or Action Forms	Forms or similar records used to create or change information concerning the records of an employee including pay grade, position classification, employee number, evaluation date, and termination of employment.	AC	2						29 CFR 1602.31 [State Agencies]. 29 CFR 1602.49(a) [State Universities].
74	3.1.023	Position/Job Descriptions	Job descriptions, including all associated task or skill statements, for positions in an agency.	AC	4			AC=Until superseded or job eliminated.			40 TAC 815.106(i).
533	3.1.024	Physical Examinations/Medical Reports	Medical or physical examination reports or certificates of employees for whom periodic monitoring of health or fitness is required.	AC	2			AC= Until superseded or termination of employment.		CAUTION: Does not include pre-employment physical examinations. SEE item number 3.1.014. Does not include medical or physical examinations for employees exposed to hazardous materials. See RSIN 5.4.016a/b.	



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458	3.1.026	Criminal History Checks	Criminal history record information on job applicants or agency employees obtained from the Department of Public Safety (DPS).	AC				AC=The criminal history record has served the immediate purpose for which it was obtained.		CAUTION: An agency that is authorized to obtain criminal history record information from DPS must refer to its agencies legislation or see Subchapter F, Chapter 411, Government Code for appropriate retention and use of this information.	
175	3.1.027	Training and Educational Achievement Records (Individual)	Certificates of completion, transcripts, test scores, or similar records documenting the training, testing, or continuing education achievements of an employee.	AC	5			AC = Termination of employment.			
59	3.1.029	Employment Eligibility, Documentation or Verification	Federal reporting form (Form I-9).	AC	1			AC = 3 years after date of hire or 1 year after termination of employment whichever is later.			8 CFR 274a.2[(b)(2)(i)(A) & (c)(2)]
534	3.1.034	Resumes-Unsolicited	Retention period applies if an agency replies to the sender of a resume that it will be kept on file should future job opening occur.	AV				SEE item number 3.1.014 for resumes, whether solicited or unsolicited, that are used in any way in the employment selection process.			



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535	3.1.036	Apprenticeship Records	Summary of applicant qualifications, evaluation basis for selection or rejection, original applications, job assignments, promotions, separations, layoffs, terminations, compensation records, conditions of work, time records, hours of training provided (separate from labor), minor status and gender of all selected and rejected applicants.		5						29 CFR 30.8e
273	3.1.037	Employee Recognition Records	Awards, incentives, tenure, etc.	AC	5			AC=Termination of employment.			
536	3.1.038	Public Access Option Form	Form completed and signed by employee or official, or former employee or official, electing to keep home address, home telephone number, social security number, and family information open or confidential under the Public Information Act, Government Code §552.024.	US						SEE item 3.3.011	



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537	3.1039	Ombudsman Records	Consultation records, notes, letters, memos, emails, reports and other documentation.	AC				AC=Final decision or matter closed.		CAUTION: Does not included formal complaint filed with EEO. If matter becomes a grievance or the subject of counseling or litigation, or employee is subject to disciplinary action, the records are subject to retention in the appropriate records series. SEE 1.1.048, 3.1.006, 3.1.018, 3.1.020. and 3.1.021.	



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905	3.1.040a	Employee Drug Testing and Screening Records – Positive Results and Calibration	Records of employee alcohol test results indicating an alcohol concentration of 0.02 or greater; records of employee verified positive controlled substances test results; documentation of refusals to take required alcohol and/or controlled substances tests; employee evaluation and referrals; calibration documentation; records related to the administration of the alcohol and controlled substances testing programs; copy of each annual calendar year summary.		5						49 CFR 382.403 for commercial motor vehicle drivers.
906	3.1.040b	Employee Drug Testing and Screening Records – Collection Records	Records related to the alcohol and controlled substances collection process (except calibration of evidential breath testing devices).		2						
907	3.1.040.c	Employee Drug Testing and Screening Records – Negative Results	Records of negative and canceled controlled substances test results and alcohol test results with a concentration of less than 0.02.		1						



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908	3.1.041	Employee Acknowledgement and Agreement Forms	Agreements between employee and agency authorizing certain actions, including acknowledgement forms, telecommuting agreements, outside/secondary employment authorizations, or other documentation that show proof of receipt and awareness of and adherence to agency policies and procedures.	AC	2			AC= Until superseded, obsolete, or date of separation, as applicable.			
909	3.1.042	ADA Accommodation Requests	Employee or applicant requests for reasonable accommodation under the ADA (Americans with Disabilities Act).								
76	3.2.001	Employee Deduction Authorizations	Documentation used to start, modify, or stop all voluntary or required deductions from payroll, including garnishment or other court-ordered attachments.	AC	4			AC=After termination of employee or after amendment, expiration, or termination of authorization, whichever sooner.			



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77	3.2.002	Employee Earnings Records	Payroll records and registers documenting employee earnings, wages, and pay. This may include but is not limited to payroll input records, summary statements, payroll vouchers, payroll detail sheets, and payroll history.	FE	4						40 TAC 815.106(i).
78	3.2.003	Federal Tax Records	Includes 1099, W2, FICA, and other tax records.	AC	4			AC=Tax due date, date claim is filed, or date tax is paid, whichever is later.			26 CFR 31.6001-1(e)(2).
79	3.2.004	Income Adjustment Authorization	Used to make increases or decreases to employees' gross pay, FICA, retirement, or in the computation of taxes.		2						29 CFR 516.6(c).
80	3.2.005	W-4 Forms	Employer's copy of "Employees' Withholding Exemption Certificate."	AC	4			AC=Until superseded, obsolete, or upon separation of employee.			26 CFR 31.6001-1(e)(2).
81	3.2.006	Wage Rate Tables	Records defining the wage or salary rate for each position in the agency expressed in dollars, grades, or step numbers.		2						29 CFR 516.6(a)(2).



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360	3.2.007	Unemployment Claims, Unemployment Compensation Records	Records and documentation relating to unemployment compensation claims, including reimbursement of funds disbursed by Texas Workforce Commission (TWC).	AC	5			AC=After termination of employee or after amendment, expiration, or termination of authorization, whichever sooner.			
460	3.2.008	Direct Deposit Application/Authorizations	Forms used to deposit employee's earnings into a specified personal account.	AC				AC= Until superseded, cancelled, or last payment deposited after termination of employment, whichever applicable.			
461	3.2.009	State Deferred Compensation Records	Records documenting the amount of pension or deferred compensation earned by individual employees.	AC	4			AC = All accounts with a vendor or vendor words for the individual participant have been closed.		For instructions regarding the determination of the closure of accounts and for additional information regarding the retention. See the most recent edition of the Benefits Coordinator Reference Manual Issued by the Employee Retirement System of Texas.	



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87	3.3.001	Affirmative Action Plans	Affirmative action plans for both regular employees and apprenticeship programs.		5						29 CFR 30.12 (d) for employee plans; 41 CFR 60-1.12(a) apprenticeship programs
88	3.3.004	Benefit Plans	Employee benefit plans such as pension; life, health, and disability insurance; deferred compensation; etc., including amendments.	AC	1			AC= Until superseded or plan terminated.			29 CFR 1627.3(b)(2).
91	3.3.010	Labor Statistics Report	Reports providing statistical information on labor force.		3						
92	3.3.011	Former Employee Verification Records	Minimum information needed to verify employment, includes name, social security number, exact dates of employment, last known address and most recent public access authorization	AC	75			AC = Termination of employment.		See item number 3.1.038	
538	3.3.015	Positions/Job Classification Review File	Records relating to review and monitoring of job classifications within an agency.	US	3						
359	3.3.020	Work Schedules/Assignments	Work, duty, shift, crew, or case schedules, rosters, or assignments.		1						



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287	3.3.022	Texas Workforce Commission (TWC) Reports	Reports to the agency from TWC or its predecessor pertaining to employees.		3						
35	3.3.023	Reimbursable Activity Records	Requests and authorizations for travel; participation in educational programs, workshops, or college classes; or for other work-related activities for which the expenses of the employee are defrayed or reimbursed.	FE	3						
462	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						
539	3.3.025	Job Procedure Records	Any documents detailing the procedural duties and responsibilities of agency positions on a position-by-position basis.	US	3						



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95	3.3.026	Agency Staffing Reports	Any reports compiled by an agency on aspects of personnel staffing, including listings of all staff by program or name, staff hired during a month, detailed listings of employees within an organizational structure, position vacancies analyses of turnover rates and seasonality of employment, etc.	US	3						
540	3.3.027	Aptitude and Skills Tests	Aptitude, competency, or skills tests and checklists required of job applicants or of current personnel to qualify for promotion or transfer, including validation records.	AC	2			AC= Until superseded or no longer used by agency.		CAUTION: One copy of each different test (different in terms of either questions or administration procedures) should be retained for the period indicated.	29 CFR 1602.31[State Agencies] 29 CFR 1602.49 [State Universities]
541	3.3.028	Aptitude and Skills Tests (Test Papers)	Completed aptitude, competency, or skills test papers and checklists of job applicants or of current personnel taking a test to qualify for promotion or transfer.		2						29 CFR 1602.31[State Agencies]. 29 CFR 1602.49[State Universities]



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543	3.3.030	Training Administration Records	Records documenting the planning, development, implementation, administration and evaluation of in-house training programs, including but not limited to training manuals, course registration, class rosters, sign-in sheets, syllabuses, course outlines, and similar training aids used in in-house training programs.	AC	2			AC = Close of training session, after training materials superseded, or termination of training program, as applicable.		CAUTION: Does not include hazardous material training records. SEE item number 5.4.007. See RSIN 1.1.043 for external training records. See RSIN 3.1.027 for individual employee training records.	
63	3.3.031	EEO Reports and Supporting Documentation	Includes documentation used to complete EEO reports.		3						29 CFR 1602.32,1602.39,1602.41, 1602.48, & 1602.50
68	3.3.032	Equal Pay Records	Reports, studies, aggregated or summary data, and similar documentation compiled to monitor and demonstrate compliance with the federal Equal Pay Act.		3						29 CFR 1620.32
910	3.3.033	Recruitment Plans	Diversity and recruitment plans and related workforce analyses		3						Texas Labor Code, 21.501 and 502



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544	3.4.001	Accumulated Leave Adjustment Requests	Used to create employee leave balances, to transfer leave balances when an employee transfers positions, to adjust carry-over balances on August 31st, to correct errors on leave accumulation, and to close out leave accounts on separated employees.	FE	3						
96	3.4.002	Leave Status Reports	Cumulative report is issued each pay cycle and provides employee leave status information for each position.	FE	3						
463	3.4.004	Overtime Schedules and Authorizations	Records created to schedule time worked by employees outside of or in addition to their regular working hours, including approval authorizations.		2					CAUTION: Only includes overtime schedules and authorizations. See RSIN 3.4.006 for timekeeping records.	
98	3.4.006	Time and Attendance Records	Records documenting individual employee's hours worked, including work schedules and documentation evidencing adherence to or deviation from normal hours for those employees working on fixed schedules.		4						40 TAC 815.106(i).



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99	3.4.007	Time Off and/or Sick Leave Requests	Requests and authorizations for vacation, compensatory, sick, Family and Medical Leave Act (FMLA), sick pool leave, and other types of authorized leave, and supporting documentation.	FE	3						Government Code, Section 661.152(d); 29 CFR 825.500(b).
288	3.4.008	Sick Leave Pool Documentation	Records documenting number of hours transferred in and out of comprehensive sick leave pool.	FE	3						
464	4.1.001	Accounts Payable Information	Claims; invoices; statements; copies of checks and purchase orders; expenditure authorizations; ledgers; encumbrance, purchase, general journal, expenditure, and special vouchers; and similar records that serve to document disbursements, including those documenting claims for and reimbursement to employees for travel and other expenses.	FE	3						



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102	4.1.006	Investment Transaction Files	Records documenting the investment of any public funds that evidence the investment of such funds, the cancellation or withdrawal of investments, and similar activities.	FE	5					See RSIN 4.5.002 for reports associated with investments.	
911	4.1.009	Accounts Receivable Information	Bill copies or stubs, statements, billing registers, account cards, deposit warrants, cash receipts, credit card receipts, receipts books, cash transfers, daily cash reports, reconciliations, general journal vouchers, special vouchers, and similar records that serve to document money owed to or received by a state agency and its collection or receipt.	FE	3						
115	4.5.002	Fiscal Management Reports	Internal and external periodic fiscal management reports and associated worksheets, including federal financial reports, salary reports, HUB reports, investment performance reports, etc.	FE	5					CAUTION: This series does not include fiscal reports created to fulfill grant requirements. See RSIN 4.7.008.	



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116	4.5.003	Annual Financial Report	Annual Financial Reports (AFR) required by the General Appropriations Act (100 Day Report).	AC	6			AC=September 1 of odd-numbered calendar years.		University retains record copy and sends required copies to Publications Depository Program, Texas State Library and Archives Commission. CAUTION: If an agency does not produce a biennial or annual narrative report as described in item number 1.1.066, then these annual financial reports must be marked with Archival Code A. The archival requirement, when a biennial or annual narrative report is not produced, is met by sending the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission.	
554	4.5.007	USAS Reports – Daily/Monthly	Periodic reports compiled from information entered into the Uniform Statewide Accounting System (USAS).	AC				AC = Receipt and reconciliation of annual report.			



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556	4.5.009	USAS Reports - Annual	Yearly report compiled from information entered into the Uniform Statewide Accounting System (USAS).	FE	3						
912	4.5.010	Unclaimed Property Reports and Documentation	Sufficient records to verify information on unclaimed property previously reported to the State Comptroller showing the name and last known address of the apparent owner of reportable unclaimed property, a brief description of the property, and the balance of each unclaimed account, if appropriate.	AC	10			AC= Date on which property is reportable.			Property Code, Section 74.103(b).
122	4.7.001	Accounting Policies and Procedures Manual	Records documenting the internal and external procedural requirements with respect to the accounting department of a state agency.	US	3						
124	4.7.003	Uncollectible Accounts	Records of accounts deemed uncollectible, including write-off authorizations and returned checks, warrants, and drafts.	AC	3			AC=Date account deemed uncollectable			



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125	4.7.004	Capital Asset Records	Documentation relating to the capital and fixed assets of a state agency, including equipment or property history cards containing data on initial cost, depreciation schedules or summaries used for capital outlay budgeting, and property sale, auction, or disposal records of agency owned equipment and property.	LA	3						
557	4.7.005	Claim Files	Records documenting requests for payment of a sum of money according to the terms of a policy or contract.	AC	3			AC = Resolution of claim.			



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128	4.7.008	Grant Records	This series documents state and federal grant projects participated in or administered by state agencies. It includes grant authorization records, which provide evidence of the award of grants to or by agencies; grant/project financial or performance reports, which are periodic reports of financial activity and/or program performance related to grants received or made by agencies.	AC	3			AC=Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (the Common Rule).		CAUTION: Retention requirements may vary depending on the specific funding agency. Agencies must ensure that records are retained for the appropriate retention period.	
130	4.7.010	Long-Term Liability Records	Records documenting financial obligations of a state agency that are not payable within one year of the date of the balance sheet, including debentures, loans, deferred tax liabilities, bonds, and pension obligations.	AC	3			AC=Retirement of debt.			
558	4.7.012	Signature Authorizations	Signature cards or similar records establishing authority of an agency employee to initiate or authorize financial transactions on behalf of an agency.	AC	4			AC= Until superseded, date of expiration, or termination of employee, whichever sooner.			



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913	4.7.013	Federal Tax Information (FTI) Audit Logs	Logs documenting requests and receipt of FTI, including any information created by the recipient that is derived from federal return or return information received from the IRS or obtained through a secondary source.		5						IRS Publication 1075
914	4.7.014	Indirect Cost Plans	Indirect cost plan and supporting documentation created or maintained in the development of the plan.	AC	3			AC= If submitted for negotiation of rate, date of submission; if not submitted for negotiation, the end of the fiscal year covered by the proposal, plan, or other computation.			2 CFR 200.333(f)(1) and (2).
915	4.8.001	Banking Records	Bank statements, credit card statements, cancelled checks, check registers, deposit slips, debit and credit notices, reconciliations, and other banking related records.	FE	3						
916	4.9.001	Annual Operating Budgets	Required by the General Appropriations Act. Includes encumbrances and documentation about budget transfers and revisions, as well as detail charts of accounts.	FE	3						



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140	5.1.001a	Contract Administration Files - 9/1/2015 and After	Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, , performance bonds, contracts, purchase orders, inspection reports, and correspondence. May also include other applicable documentation in the master contract file per Texas Comptroller of Public Accounts Contract Management Guide. Executed, renewed, or amended on or before September 1, 2015	AC	7			AC=Expiration or termination of the instrument according to its terms.		See related RSIN 5.3.007a/b/c for bid documentation. See RSIN 5.2.028 for building construction contracts. See RSIN 5.1.017 for contract logs.	SB20 (84th Leg.)



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917	5.1.001b	Contract Administration Files - 8/31/2015 and Prior	Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, , performance bonds, contracts, purchase orders, inspection reports, and correspondence. May also include other applicable documentation in the master contract file per Texas Comptroller of Public Accounts Contract Management Guide. Executed, renewed, or amended on or before August 31, 2015	AC	4			AC=Expiration or termination of the instrument according to its terms.		See related RSIN 5.3.007a/b/c for bid documentation. See RSIN 5.2.028 for building construction contracts. See RSIN 5.1.017 for contract logs.	SB20 (84th Leg.)
187	5.1.003	Delivery Reports	Records documenting incoming or outgoing deliveries, including through private courier services.		2						
141	5.1.004	Mail and Telecommunications Listings(Address and telephone listings)	Any mailing address, telephone or fax number, or e-mail address records maintained by an agency on its employees or on entities or persons it serves.	US							



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142	5.1.005	Postage Records , Department Mailing Cards	Records and reports of postage expenses, including postal meter usage.	FE	3						
559	5.1.007	Requisitions for In-Agency or Interagency Copy/ Printing Service	Includes word processing and data processing.	AV							
560	5.1.010	Licenses and Permits for Non-Vehicles	Licenses and permits obtained from external agencies or organizations in order to perform operations.	AC	2			AC=Expiration date of license or permit.		Does not include licenses and permits issued by an agency as part of its statutory responsibilities.	
561	5.1.011	Photocopier and Telefax Usage Logs & Reports	Registers or logs of print copies and fax transmissions made by user or in total.								
167	5.1.012	Charge Schedules/Price Lists	Schedules of prices charged by an agency for services to the public or other agencies, including any documentation used to determine the charges.	US	3						



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10	5.1.013a	Insurance Policies-9/1/2015 and After	Liability, theft, fire, health, life, automobile, and other policies for government property and personnel including supporting documentation relevant to the implementation, modification, renewal, or replacement of policies.	AC	7			AC=Expiration or termination of the policy according to its terms.			SB20 (84th Leg.)
918	5.1.013b	Insurance Policies-8/31/2015 and Prior	Liability, theft, fire, health, life, automobile, and other policies for government property and personnel including supporting documentation relevant to the implementation, modification, renewal, or replacement of policies.	AC	4			AC=Expiration or termination of the policy according to its terms.			SB20 (84th Leg.)
562	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						



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188	5.1.015	Correspondence Tracking Records	Any record created by an agency to track any type of incoming and outgoing correspondence or packages by the U.S. Postal Service or by private couriers.		1						
563	5.1.017	Contract Log	List of agency contracts, leases, and agreements including general obligation, land lease, utilities, and construction contracts.	FE	3						
919	5.1.018	Surveillance Videos	Surveillance videos of buildings, facilities, vehicles, or other state property.	AV						See RSIN 5.4.001 or 5.4.014 if video is needed for an accident investigation or RSIN 1.1.048 if video is needed as evidence in litigation. The disposal of surveillance videos need not be documented through destruction signoffs (RSIN 1.2.001) or in records disposition logs (RSIN 1.2.010).	
146	5.2.001	Appraisals - Building or Property	Assessments or evaluations of the value of state-owned buildings or property.	AV					R		



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147	5.2.002	Building Construction Project Files	Project records related to planning, design, construction, conversion, or modernization of state facilities, structures, infrastructure, and systems, including feasibility, screening, and implementation studies; topographical and soil surveys and reports; as-builts; laboratory test reports; environmental impact statements; correspondence; successful and unsuccessful bid documentation and other related documentation.	AC	10			AC=Completion of project	R	See RSIN 5.2.003a/b and 5.2.028 for further retention of completed building documentation. See RSIN 5.3.007a/b for additional bid documentation retention periods, including RSIN 5.3.007c for invalid bids that do not meet agency submission requirements.	Texas Civil Practice & Remedies Code 16.008 - 16.009.
148	5.2.003a	Building Plans and Specifications - State Owned	Includes architectural and engineering drawings, profiles, and blueprints of planning, design, construction, conversion, or modernization of state owed facilities, structures, infrastructure, and systems.	LA					R	SEE ALSO item numbers 5.2.003 and 5.2.028. ARCHIVES NOTE: Archival review designation is for state-owned buildings only.	



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920	5.2.003b	Building Plans and Specifications – Leased	Includes architectural and engineering drawings, profiles, and blueprints of planning, design, construction, conversion, or modernization of leased facilities, structures, infrastructure, and systems.	AC	2			AC=Termination or cancellation of lease according to its terms.		See RSIN 5.2.002 and 5.2.028.	
149	5.2.004	Building Space Requests	Records documenting building space requests and approvals. Information on request forms may include but is not limited to: the building and room; the reason for the change; parties involved in the request; date of request and approval.		1						
564	5.2.005	Calibration Records (Equipment or Instrument)	Records documenting the determination, checking, or rectifying of any instrument giving quantitative measurements.		10						
565	5.2.006	Inventory and Property Control Records	Records documenting the inventorying, maintenance, usage, and disposal of supplies, equipment, and property of a state agency. Includes lost, stolen, and damage reports.	FE	3					See RSIN 5.2.008 for the maintenance logs of individual pieces of equipment.	



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151	5.2.008	Inspection, Repair, and Maintenance Records – Equipment	Equipment history file, which may include logbooks and requests for installation, moves, service, repair, etc	LA	3					For service agreements or contracts related to equipment repairs and service, retain in accordance with item number 5.1.001a/b. For vehicle maintenance records see RSIN 5.6.003.	
153	5.2.010	Equipment Manuals		LA							
154	5.2.011	Equipment Warranties		AC	1			AC=Expiration of warranty.			
566	5.2.012	Estimated Files (Supply and Repair Cost Estimates)	Quotes for minor construction and repair projects and supplies. Includes supporting documentation, as applicable.		1						
157	5.2.016	Inventory System Update Listing	Listing shows all additions, changes, deletions, and transfer times for the monthly processing period.	AC				AC=Transfer of information into annual listing.		See RSIN 5.2.006 for annual inventory listing.	
567	5.2.018	Quality Control Reports	Documentation and reporting on adherence to procedures that ensure quality of a process, product, or service.		2					See RSIN 2.2.013 for quality control records related to IT procedures.	



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568	5.2.019	Service Orders	Requests or work orders for repairs or maintenance to facilities, vehicles, or equipment completed by internal agency personnel or external service providers.		1						
570	5.2.022	Utility Usage Reports	Any type of usage report or log used to monitor utilities such as gas, electric, water, etc.	AV						CAUTION: Does not include utility usage reports for agencies that operate their own utilities.	
571	5.2.024	Equipment Descriptions and Material Specifications	Equipment and material descriptions and specifications that may include but are not limited to detailed descriptions; lists of raw materials and ingredients; physical characteristics of items; special handling procedures; or technical drawings.	AC	2			AC= Equipment or Material is no longer in the agency.			
573	5.2.026	Facilities Reservation Logs	Reservation logs or similar records relating to the use of agency facilities such as meeting rooms, auditoriums, etc.		2						



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574	5.2.027	Space Utilization Reports	Reports summarizing efficiency of facility space utilization, which may include data on room usage, demand, allocation, and capacity.	AV							
575	5.2.028	Building Construction Contract and Inspection Records	Building construction contracts, surety bonds, and inspection records.	LA	10				R	SEE ALSO items numbers 5.2.002 and 5.2.003 a/b.	
921	5.2.029	Returned Mail	Documentation of mail returned by the postal or other mail delivery services as undeliverable.	AC	1			AC=Date returned		CAUTION: If corrected address provided and mail rerouted, maintain address update documentation for prescribed retention period.	
164	5.3.003	Freight Claims	Freight or cargo claims against carrier for damage or loss to a shipment.	AC	2			AC=Resolution of claim.			43 TAC 218.61(d); 49 USC 14706(e).
165	5.3.004	Shipping Information	Shipping information, including order acknowledgements, packing slips, and related documentation.	AV						CAUTION: Some shipping information may require longer retention period. State agencies must determine if longer retention period is required based on the type of materials shipped to or from their agency.	



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353a	5.3.007a	Bid Documentation – 9/1/2015 and After	Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, awarded and unawarded bids, and bid tabulation/evaluations. Associated with a contract executed, renewed, or amended on or after September 1, 2015.	AC	7			AC= Expiration or termination of the instrument according to its terms or decision not to proceed with the bid.		RFI is precursor to bid process.	SB20 (84th Leg.)
353b	5.3.007b	Bid Documentation – 8/31/2015 and Prior	Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, awarded and unawarded bids, and bid tabulation /evaluations. Associated with a contract executed, renewed, or amended on or before August 31, 2015	FE	3						SB20 (84th Leg.)



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353c	5.3.007c	Bid Documentation – Invalid Bids	Invalid bids that do not meet agency submission requirements and are not included in bid evaluation process (e.g. withdrawn, missed submission deadline, incomplete submission, etc.)	AC	2			AC= Date of notification of denial or date of withdrawal, as applicable.			
576	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						
168	5.3.009	Request for Information (RFI)	Request for information preliminary to the procurement of goods or services by direct purchase or bid.	AC				AC=Decision not to proceed with the procurement.		RFI is precursor to bid process. CAUTION: If the request for proposal or bid, the request for information documentation should be retained in accordance with the item number 5.3.007. See RSIN 1.1.020 and 1.1.021 for public information requests	



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922	5.3.010	Vendor Records/W-9	W-9 IRS Form used to request a taxpayer identification number (TIN) for reporting information to the Internal Revenue Service (IRS). This includes W-9 forms received by a state agency from vendors.	AC	3			AC= Date account is opened or date instrument purchased.			26 CFR 31.3406(h)-3(g).
170	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					Record copy retained by Texas Department of Insurance. The Texas Department of Insurance retains copies of the reports submitted to it for 50 years.	29 CFR 1904.33; 28 TAC 120.1(c).
171	5.4.002	Evacuation Plans	Plans for evacuation of agency facilities in cases of emergency.	US							
172	5.4.003	Inspection Records	Fire, safety, and other inspection records of agency facilities and equipment, including orders issued by inspectors to correct deficiencies in compliance with any code or regulations	AC	3			AC=Inspection, or date of the correction of the deficiency if the inspection report reveals a deficiency.		CAUTION: Does not include inspection reports of building construction. SEE item number 5.2.028.	



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290	5.4.007	Hazardous Materials Training Records	Records of training given to employees in an agency hazard communications program. May include but is not limited to date of class, roster of attendees, subjects covered, and instructors.		5					See RSIN 3.1.027 for individual employee training records.	Texas Health and Safety Code, 502.009(g).
577	5.4.008	Hazard Communication Plans	Plan that provides information to employees about the hazardous chemicals to which they may be exposed to in their workplace.	US	5						Texas Health and Safety Code, 502.009(g).
578	5.4.009	Workplace Chemical Lists	List of each hazardous chemical normally present in the workplace		30						Texas Health and Safety Code, 502.009(d).
579	5.4.010	Safety Data Sheets	Safety Data Sheets (SDS) that list information relating to occupational safety and health for the use of various substances and products.	AC				AC= After sheets are updated or hazardous chemical no longer stored by agency, as applicable.		CAUTION: If Workplace Chemical Lists (RSIN 5.4.009) are not maintained, these records must be maintained for 30 years.	29 CFR 1910.1020(d)(1)(ii)(B)
476	5.4.011	Visitor Control Registers	Logs, registers, or similar records documenting visitors to limited access or restricted areas of agency facilities.		3						



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89	5.4.012	Security Access Records	Records relating to the issuance of keys, identification cards, building passes, passwords, signed statements or similar instruments of access to agency or state facilities, equipment or automated systems.	AC	2			AC=Until superseded, date of expiration, or date of termination, whichever sooner.			
37	5.4.013	Disaster Preparedness and Recovery Plans	Plans developed (per Texas Labor Code, 412.054) to mitigate the damage of potential events that could endanger an agency’s ability to function. Includes disaster preparedness, response, and recovery plans.	US						See RSIN 5.4.017 for records related to responding or recovering from an emergency.	
923	5.4.014a	Accident Reports – Adults	Reports of accidents to adults on state property or in any other situation in which the state agency could be a party to a lawsuit.	AC	3			AC= Date of report, or if a claim is filed, after settlement or denial of claim, whichever applicable.			
924	5.4.014b	Accident Reports – Minors	Reports of accidents to minors on state property or in any other situation in which the state agency could be a party to a lawsuit.	AC	3			AC= Date minor reaches the age of majority, or if a claim filed, after settlement or denial, whichever applicable.			



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925	5.4.015	Hazardous Materials – Administrative Records	This series documents a building by building survey and plan to correct asbestos material hazards. This series may include but is not limited to: surveys; monitoring tests and reports; data forms; building plans; correction checklists; removal job records; and related documentation and correspondence. Environmental, biological, and material safety monitoring reports concerning toxic substances and harmful physical agents in the workplace, including analyses derived from such reports.	AC	30			AC= Date of project completion.		See RSIN 5.4.016a/b for hazardous material exposure records	29 CFR 1910.1001; 29 CFR 1910.1020(d)(ii); 25 TAC 295.62(a).
926	5.4.016a	Hazardous Materials – Employee Exposure Records	Environmental, biological, and material safety monitoring reports, including health or physical examination reports or certificates of employees, who have experienced exposure to toxic substances, harmful physical agent, or bloodborne pathogens in the workplace, including analyses derived from such reports.	AC	30			AC= Termination of employment.			29 CFR 1910.1020(d); 29 CFR 1910.1001; 29 CFR 1910.1020(d)(1)(ii).



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927	5.4.016b	Hazardous Materials – Periodic Monitoring	Environmental, biological, and material safety monitoring reports, including health or physical examination reports or certificates of employees, for whom periodic monitoring of health or fitness is required concerning toxic substances, harmful physical agent, or bloodborne pathogens in the workplace, including analyses derived from such reports.	US	2						29 CFR 1910.1020(d); 29 CFR 1910.1001; 29 CFR 1910.1020(d)(1)(ii).
928	5.4.017	Emergency Response and Recovery Records	This series documents the events and damages to institutional property due to storms, riots, fires, droughts, floods, and other events affecting citizens and facilities within the jurisdiction of the institution. This series may include but is not limited to: diaries; logs; reports; photographs; notes which indicate or document what happened, when, and where; and related documentation and correspondence.		3				R	See RSIN 5.4.013 for Continuity of Operations Plans (COOP). CAUTION: If grant monies are received to assist with the response or recovery, the retention requirements for this series may vary depending on the specific funding agency..`	



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929	5.4.018	Annual Audit Plan	Includes working papers and agency risk assessment used to develop the plan, per Texas Internal Auditing Act requirement.	AC	7			AC=After final plan has been issued		See RSIN 1.1.002 for individual Audit records not related to the development of the Audit Plan.	Government Code, 2102.013.
930	5.4.019	Audit Peer Review – Working Papers	Documents collected or generated as part of the process of reviewing other state agency internal audit programs. Includes but is not limited to: self-assessments, worksheets, surveys or questionnaires, evaluations, and other documents as described in the State Agency Internal Audit Forum (SAIAF) Peer Review Manual.	AC	1			AC= After final report has been issued.		See RSIN 1.1.002 for individual Audit records not related to the peer review of an Audit Plan.	Government Code, 2102.007(a)(5).
131	5.5.002	Telephone Activity Records	Telephone logs created for internal documentation purposes; station activity reports of internal listings of incoming/outgoing telephone activity to individual telephone stations; operator call transfers; summary detail reports; and system activity reports of internal listings of all incoming/outgoing agency telephone activity.	AV						See RSIN 4.1.001 for telephone bills	



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581	5.5.007	Disputed Call Documentation	Documentation relating to disputed long distance calls, including documents evidencing repayment by employees for personal long distance use.	AC	3			AC= Dispute resolved or repaid + FE.			
582a	5.6.001a	Airplane Flight Logs-State Owned	Logs and related documentation used to maintain information about state owned aircraft flight data.	LA	3						
582b	5.6.001b	Airplane Flight Logs-Leased	Logs and related documentation used to maintain information about leased aircraft flight data.	FE	3						
583	5.6.002	Airplane Passenger Lists	List of passengers on an aircraft.	FE	3						
179	5.6.003	Inspection Repair and Maintenance Records - Vehicles	Records and documentation related to inspections, repairs, and maintenance for state vehicles.	LA	1					See RSIN 5.2.008 for non-vehicle equipment maintenance records.	
303	5.6.004	License and Driving Record Check		AC				AC=Until superseded or until termination of employment.			
180	5.6.005	Vehicle Use Reports	Includes mileage, fuel/oil consumption, passengers carried and other related operational information.	FE	3						



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304	5.6.007	Vehicle Titles and Registrations	Vehicle titles, registration information, and owner manuals for state vehicles.	LA							
585	5.6.009	Parking Permits or Assignments - Staff and Faculty	Records documenting issuance of parking permits and assignments.	US							
586	5.6.009	Parking Permits or Assignments -- Student	Records documenting issuance of parking permits and assignments.	US							
587	11.1	Title IX Records	Documents and records related to Title IX proceedings including investigations, determinations, recordings and transcripts, sanctions, remedies, appeals, informal resolution, training materials, and supportive measures	AC	7			AC = The date of the record's creation begins the seven year retention period.			§106.45 (b)(10); §106.45 (b)(11)
588	11.1.001	Alumni Association Services Program Records	This series documents the implementation of programs administered by the office such as those relating to marketing products, credit cards; insurance, and football tickets. This series may include but is not limited to: dues information and related documentation; and correspondence.		5				O		



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589	11.1.002	Alumni Records	This series documents the activities of an institution or department's alumni and may also provide alumni offices with information on alumni. This series may include but is not limited to: memberships lists with names, addresses, employer names and addresses, and positions; minutes, by-laws and directories of clubs in many communities and several major cities throughout the United States; promotional materials concerning annual gatherings; homecoming plans and programs; data cards and files for individual alumni; degree recipient lists; outstanding alumni lists; student leader lists; class officer lists; foreign student rosters; international alumni club records; and notes, memoranda, and related correspondence concerning general alumni affairs.	AV					I	See RRS 5.1.004 for records used exclusively for contacting alumni.	



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590	11.1.003	Award Administration and History Records	This series documents the process of selecting institutional faculty, staff, students and alumni to receive awards, fellowships, and scholarships based on merit or achievement. This series may include but not limited to: eligibility terms and selection criteria; award history and information on funding sources; award notifications; summary lists of winners, and biographies of winners.	AC				AC = Termination of award.	O	ARCHIVES NOTE: Only institutional awards merit archival review. Department-level awards recognizing employee or student achievement do not need to be reviewed for archival value. See RRS 1.1.019 for press releases. See RRS 1.1.019 for press releases	



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591	11.1.004	Award Selection Records	This series documents the process of selecting institutional faculty, staff, students and alumni to receive awards based on merit or achievement. The series may include but is not limited to: applications; nomination letters; recommendations; transcripts; letters of award notification or denial; letters accepting or declining awards; demonstration of need documentation; vote tallies; ranking sheets; and related documentation and correspondence.		2					CAUTION: This records series documents the process of selecting an individual to receive an award. See RRS 3.1.037 for records of an employee receiving an award, incentive, or tenure.	



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592	11.1.005	Copyright Records	This records series pertains to the form of protection that may be obtained for original works of authorship by a University employee within the scope of his or her employment, including works such as intellectual, artistic, computer software, and literary works. Records may include but are not limited to a copy of the work of authorship itself (e.g., an article, book, computer program) as submitted to the United States Copyright Office and the corresponding copyright application and registration notice.	AC				AC = Expiration of copyright			17 U.S.C. 302
593	11.1.006	Event Administration Records - Routine	This series documents facilities, services and other accommodations provided by the institution for events. Records may include: room reservation lists; customer and room occupancy lists; catering services orders; customer evaluations; summary reports; and related correspondence.	AC	1			AC = Completion of the event.		CAUTION: Use this record series in conjunction with RRS Section 4.1 for financial records, RRS 5.1.001 for written agreements or contracts, and RRS Section 5.3 for purchasing records. See URRS 11.1.007 for records of special events.	



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594	11.1.007	Event Administration Records - University Special Events	This series documents the efforts of a college or unit to provide informative sessions, short-courses, workshops, training programs, excursions, and celebratory events for members of the institution and the communities it serves. This series may include but is not limited to: materials on planning and arrangements; reports; promotional and publicity materials; press releases and news clippings; photographs; presentation materials and handouts; schedules of speakers and activities; registration and attendance lists; participant evaluations; and related documentation and correspondence.	AC	4			AC = Completion of the event.	O	See 11.1.006 for routine event administration records.	



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595	11.1.008	External Committee Records	This series documents the relationship and participation of institution units in external professional and educational associations and other organizations. The unit's role may be one of membership on the advisory or administrative board, participation in a task force or subcommittee, or one of membership in consortia. This series may include but is not limited to: promotional information; rules and regulations; reports; proposals and planning records; workshop and conference records; surveys and questionnaires; minutes; and related documentation and correspondence.	AC				AC = Termination of service on committee, disbanding of committee, or records of committee no longer administratively valuable to the agency.		CAUTION: See URRS 11.1.015 for meeting records of internal university committees.	



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596	11.1.009	Lectures and Lecture Series Records	This series documents the development and history of special lectures and continuing lectureships devoted to a variety of topics and disciplines sponsored by the institution. This series may include but is not limited to: information on funding; financial support and honoraria records; patron information; information on catering arrangements; and related documentation and correspondence.		5				O	CAUTION: See URRS 11.1.006 and URRS 11.1.007 for records of event planning and administration.	
597	11.1.010	Permits and Licenses	Records documenting the application for and the issuance of permits and licenses by the institution for sales, solicitation, facility usage, and similar activities.	AC	2			AC = Expiration, cancellation, revocation, or denial.		CAUTION: Does not include parking permits. See RRS 5.6.009.	



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598	11.1.011	Photographs, Audiovisual Recordings, and Other Non-Textual Media	This series provides photographic and/or audiovisual documentation of institution activities, events, students, faculty, and staff. This series includes photographs, digital images, photographic scrapbooks, negatives, slide formats, sound recordings, videotapes, posters, and other non-textual media that document institutional history and activities, *except* such records noted elsewhere in this schedule.	AV					O	ARCHIVES NOTE: Archivists should apply archival selection criteria in the appraisal of these items. Selection criteria may include level of identification. Archivists may arrange with digital asset managers or similar personnel to identify historical photographs prior to transfer to the archives. See RRS 1.1.057 for classification of those images that are weeded out (as unusable, almost-duplicates, etc.)	
599	11.1.012	Student and Alumni Surveys/Questionnaires		AC	3			AC = Final disposition of summary report.		CAUTION: See URRS 17.1.019 for course-instructor surveys.	



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600	11.1.013	Subject Files - Executive	This series documents the executive actions of a state university. The series includes information in the form of correspondence and memoranda, policy statements, organization and program development records, reports concerning accreditation requirements, budget material, faculty and student relations, personnel matters, tenure and salary issues, physical plant development, grant awards, research programs, foundation endowments, fiscal accountability, academic requirements, student athletic issues, and other related topics. These records reflect administration of policies, coordination of institution functions, and overall management of major divisions and departments of a state university.		4				I		



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601	11.1.014	Subject Files - Media and Communications	This series provides background information on institutional faculty and staff, buildings, events, traditions, and other special topics that document a university's history and culture. The records may be used to support research, responses to inquiries, and other purposes. This series may include but is not limited to: newspaper clippings; photographs; published and unpublished historical sketches; pamphlets; statistics; ephemera; biographical sketches; vitae; photographs; personal history data sheets; newspaper clippings; retirement notices; funeral programs; obituaries; and related documentation and correspondence.	AV					O	See RRS 1.1.019 for press releases. See RRS 1.1.020/1.1.021 for Public Information Requests.	



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602	11.1.015	University Committee Records	This series documents the activities of standing and ad hoc committees and councils made up of members from a variety of units. The committees are charged with formulating and recommending institutional policies and procedures, establishing standards and requirements, performing an advisory function, or reviewing petitions, appeals, and deviations from policy. Types of committees include administrative committees (those appointed by an administrator) and faculty senate committees (those created by the faculty senate's executive committee). They may function as steering committees, activities committees, standards committees, planning committees, academic committees, awards committees, councils, etc. Committees may be chaired by the director of a specific unit or rotate to different chairs on a regular basis. This series may include but is not limited to: agendas; meeting minutes; reports; notes; working papers; and related documentation and correspondence.		3				O	CAUTION: Federal or state regulations may require longer retention periods (for example, radiation committee meeting records must be retained permanently). The university must consider any applicable federal or state regulations in establishing a retention period for each committee's records. CAUTION: See URRS 11.1.008 (External Committee Records) for meeting records of external committees.	



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603	11.1.016	University and Academic Leadership Meeting Records	This series documents the meetings of the faculty and/or staff of a college, department, or office that sets policy and procedures for the unit. Participants at meetings may be composed exclusively of a mixture of faculty, staff, administrators, and managers; specialized and task oriented sub-committees composed of unit personnel are also documented as part of this record series. These meetings may concern routine matters of procedure and topics such as program development, planning, administrative and personnel management, and assessments of future needs. This series may include but is not limited to: official meeting notes/minutes; reports; and agendas.	4					O		



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604	12.1.001	Faculty Appointment, Promotion, and Tenure Records	Evaluations, recommendations, and similar documentation relating to the review process for promotion and tenure for all faculty or staff in the tenure track.	AC	5			AC = Termination of employment.		CAUTION: For records of staff employee recognition, see RRS 3.1.037.	29 CFR 1602.49, 29 CFR 1602.49(a).



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605	12.1.002	International Scholars Records - J-1 Exchange Visitor Files	This series documents the short-term appointment of nonimmigrant international scholars as visiting faculty, specialists, researchers, and trainees. This series may include but is not limited to: Form DS-2019, Certificate of Eligibility for Exchange Visitor (J-1) Status; descriptions of work to be performed; methods of financial support; copies of passports; check-in forms with personal data such as addresses, telephone numbers, and information concerning dependents; related correspondence, most often concerning eligibility of spouses and children to accompany or join the scholar; log sheets noting the nature of telephone calls concerning each scholar's status; and related documentation.	AC	3			AC = End of participation in program.			22 CFR 62.10(h).



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606	12.1.003	International Scholars Records – Immigrant Petition File	Includes documentation of an institution’s sponsorship of an applicant using United States Citizenship and Immigration Services (USCIS) Form I-140 (Immigrant Petition for Alien Worker).	AC	5			AC = Date applicant granted lawful permanent residence by USCIS or no longer employed by the institution, whichever is earlier.			
607	12.1.004	International Scholars Records – Labor Certification (PERM)	This series documents the application and approval of international scholars for permanent immigrant status. This series may include but is not limited to: Application for Permanent Employment Certifications (Department of Labor (DOL) Form ETA 9089); Application for Alien Employment Certification (DOL Form ETA 750); recruitment reports; copy of job advertisement in national professional journal; wage determinations; and related materials.	AC	5			AC = Date of filing the 'Application for Permanent Employment Certification' (Form ETA 9089).			20 CFR 656.10(f), 29 CFR 1602.49(a), 29 CFR 1602.49(a), 29 CFR 1602.49.



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608	12.1.005	International Scholars Records – Nonimmigrant Visa Petition File	Includes both internal documents and forms submitted to the U.S. Citizenship and Immigration Services (USCIS), including Form I-129, Petition for a Nonimmigrant Worker.	AC	1			AC = Date individual no longer employed by the institution in sponsored nonimmigrant status.			
609	12.1.006	International Scholars Records – Nonimmigrant Visa Public Inspection File	This series documents the temporary employment of international exchange visitors (non-immigrants) by the institution and is used to monitor compliance with federal United States Citizenship and Immigration Services (USCIS) regulations. Includes Labor Condition Application (DOL Form 9035/9035E), wage rate documentation, benefits summaries, and related materials for H-1B, H-1B1, and E-3 visas.	AC	1			AC = Last date the institution employs any individual in H-1B nonimmigrant status under the Labor Condition Application for which the Public Inspection File was created or, if no non-immigrants were employed under the labor condition application, one year from the date the labor condition application expired or was withdrawn.			20 CFR 655.760(c).



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610	12.1.007	Tax Documentation for International Scholars	This series documents international students' and scholars' acquisition of social security numbers. This series may include but is not limited to: social security number applications; Statement of Information - Social Security Account Number forms (CO-204); photocopies of social security cards; Controllers Division reports; and related documentation and correspondence.	AC	3			AC = Date of application.			



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611	12.2.001	International Scholars Program Administration Records	This series documents a program which allows one or more visiting scholars to assume residence on campus for an academic year or a shorter duration. This series may include but is not limited to: advertisements; applicant data; arrangements and schedules; publicity and news clippings; presentation transcripts or published works; scholars' vitae; scholars' activities documentation including audio recordings; and related documentation and correspondence.		3						22 CFR 62.10(h).
612	12.3.001	Time Cards and Time Sheets - Work-Study Students	This series documents hours worked by work-study student employees. The series is used for payroll purposes and to meet federal requirements for documenting time worked by work-study students. This series may include but is not limited to: Work-study Time Certificates; referrals; time cards; and time sheets.	AC	3			AC = End of award year for which the aid was awarded and disbursed.		See RRS 3.4.006 for all other time cards and time sheets, including those of non-work-study student employees.	34 CFR 668.24(e)(1), 34 CFR 675.19(b).



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613	13.1.001	Ticket Sales Records - Other	This series documents the printing, selling, distribution, and accounting of tickets for university-sponsored performing arts and other non-athletic events where tickets are sold for admission. This series may include but is not limited to: ticket stock orders; ticket type reports; ticket purchase manifest forms; box office balance sheets; ticket printing and control records; season ticket sales lists; receipts and orders for mail, phone, or in-person purchase of tickets; ticket sales summary sheets and reports; free ticket sign-up sheets; lists and reports of free tickets distributed to patrons, contributors, and others; deposit receipts; and related documentation and correspondence.	FE	3						



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614	13.2.001	Donor Files	Includes individual donor and prospective donor files.	AC				AC = Prospect ceases to be viable.	I	CAUTION: Includes donor or prospective donor information only. For records of gifts, see URRS 13.2.005 (Gift Records - Institutional) and URRS 13.2.004 (Gift Records - Department or Program). CAUTION: The name or other identifying information about a donor may be withheld from public disclosure under the Public Information Act. Government Code Sec. 552.1235.	



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615	13.2.002	Fundraising Records	This series documents institutional efforts to raise funds to support program functions and facilities. This series may include but is not limited to: requests for fund-raising; gift history reports; background on previous donations; pledges; and related documentation and correspondence.		7					CAUTION: Does not include financial records. See URRS 13.2.004 (Gift Records - Department or Program) or URRS 13.2.005 (Gift Records - Institutional). CAUTION: For donor files, see URRS 13.2.001 (Donor Files). For event administration records, see URRS 11.1.006 (Event Administration - Routine) and URRS 11.1.007 (Event Administration - University Special Events). For public relations records, see RRS 1.1.019. CAUTION: The name or other identifying information about a donor may be withheld from public disclosure under the Public Information Act. Government Code Sec. 552.1235.	



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616	13.2.003	Gift Records - Class and Alumni	This series provides a record of gifts given to the institution by graduating or alumni classes. This series may include but is not limited to: gift lists; gift histories; a record of gift placement arrangements; and related documentation and correspondence.		5				I	See URRS 13.2.005 for records documenting potential or realized funding to the institution such as endowments and trusts.	
617	13.2.004	Gift Records - Department or Program	This series documents potential or realized private, corporate, or public agency funding to a department or program, including endowments, trusts, and funds raised by support/"friends" groups. This series comprises award guidelines, memoranda of understanding, records of fund disbursements, and related documentation and correspondence.		7					CAUTION: For records of major gifts, see URRS 13.2.005 (Gift Records - Institutional). For donor files, see URRS 13.2.001 (Donor Files). For ongoing contracts and agreements, see RRS 5.1.001.	



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618	13.2.005	Gift Records - Institutional	This series documents potential or realized private, corporate, or public agency funding to the institution, including endowments and trusts. This series includes letters and agreements of gift, copies of bequest instruments and wills from individuals or estates, and related documentation and correspondence.	PM					I	CAUTION: The name or other identifying information about a donor may be withheld from public disclosure under the Public Information Act. Government Code Sec. 552.1235.	
619	13.3.005	Gift Records - Medical	This records series consists of completed bequeathal forms and cadaver information for people who have donated their bodies, organs, or tissues to the institution.	PM							
620	13.3.006	Non-Federal Grant Records	This series documents grants and contracts from private foundations or non-federal government agencies awarded to faculty, staff and graduate assistants. Information includes name of project, award notification, contract number, and other related information.	AC	3			AC = Satisfaction of the grant according to its terms.			Circular A-110, 31 U.S.C. 503, 31 U.S.C. 1111, 41 U.S.C. 405.



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621	14.1.001	Carcinogenic Compounds Research Use Records - Administrative	This series documents the administration of the use of hazardous carcinogenic compounds by institutional researchers. This series may contain but is not limited to: research protocols; applications for use of Class B & C chemical carcinogens; chemical carcinogen animal care requirement forms; lists of personnel involved in laboratory contact with chemical carcinogens; list of carcinogenic compounds to be used in the specific research project; project and departmental lists of chemical inventories; lists of persons involved in the research project; and related documentation and correspondence.	AC	30			AC = Separation from the university.			29 CFR 1910.1020(d), Health and Safety Code, Section 502.005(d).
622	14.1.002	Radiation Safety Committee Records	This series documents the establishment of policy and procedure by the committee. Records include: agendas; minutes; reports; notes; working papers and related correspondence.	PM					O		



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623	15.1.001	Admissions Records - Enrolled/Accepted	This series documents the application process for individuals seeking admission to the institution. This series may include but is not limited to: acceptance letters; applications for admission; entrance exam reports; letters of recommendation; medical records; readmission forms; recruitment materials; test scores; residency classification forms; transcripts from other colleges; transcripts from high school; and related correspondence. International student admissions records are included in this series.	AC	3			AC=Graduation or date of last attendance		CAUTION: International student academic records must be retained at least 1 year after final notice to USCIS. CAUTION: See URRS 12.1.002 and URRS 12.1.004 for additional retention requirements for International student records.	



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624	15.1.002	Admissions Records - Not Enrolled/Denied	This series documents the application process for individuals seeking admission to the institution. This series may include but is not limited to: acceptance letters; applications for admission; entrance exam reports; letters of recommendation; medical records; readmission forms; recruitment materials; test scores; residency classification forms; transcripts from other colleges; transcripts from high school; and related correspondence.	AC	1			AC = End of application term		CAUTION: International student academic records must be retained at least 1 year after final notice to USCIS. CAUTION: See URRS 12.1.002 and URRS 12.1.004 for additional retention requirements for International student records.	



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625	15.1.003	International Student Records - Enrolled/Accepted	This series documents nonacademic institution assistance to international students who have been admitted to academic programs. These records primarily concern institution admissions, immigration issues, and other nonacademic matters. This series may include but is not limited to: copies of visas; scholarship information; institution admissions forms; graduate school applications; transcripts of previous college work; grade reports of prior college work; grade reports from institutional courses; international student advisors' notes; degree completion certificates; explanations for student withdrawals; recommendations and evaluations of students; and related documentation and correspondence.	AC	3			AC = Graduation or date of last attendance.		CAUTION: Must be retained at least 1 year after final notice to USCIS	8 CFR 214.3(g).



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626	15.1.004	International Student Records - Not Enrolled/Denied	This series documents institution assistance to international students who are considering attendance at the institution. This series may include but is not limited to: letters of inquiry from prospective students; official replies to inquiries; completed applications and admittance forms; local data sheets; advisory notes; and related documentation and correspondence.		2						
627	15.1.005	National Board of Medical Examiners Test Scores	Test scores for medical students given by the National Board of Medical Examiners (NBME). Records may also contain test scores from state or local board certifying agencies.	PM							



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628	15.1.006	National Exams - Test Administration Records	This series provides a record of the services rendered to clients by administering tests required of students seeking admission to various programs or seeking to substitute already acquired knowledge for formal college courses. Tests administered include Scholastic Aptitude (SAT); American College (ACT); Graduate Record Examination (GRE); Medical School Admission (MCAT); Pharmacy School Admission (PCAT); Business School Admission (GMAT); National Teacher Education (NTE); Veterinary College Admission Test (VCAT); and Test of English as a Foreign Language (TOEFL). This series may include but is not limited to: testing rules and regulations; rosters of test takers; seating charts; supervisors' reports; and vouchers for payment of testing. This series does not include test scores.	FE	3						



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629	15.1.007	Residency Affidavits and Documentation	This series documents declarations filed by students regarding state residency status which is critical for determining tuition status. This series may include but is not limited to: affidavits; correspondence regarding residency; and related documentation.	AC	6			AC = Date of submission.		Not for residency classification forms submitted by applicants as part of the admissions process. See URRS 15.1.001 and URRS 15.1.002.	Texas Education Code, Section 54.052.
630	15.2.001	Academic Action Authorizations	Authorizations for academic actions, such as academic probation, suspensions, dismissals, reinstatements, etc.	AC	3			AC = Graduation or date of last attendance.		CAUTION: See URRS 15.5.007 for disciplinary action records.	



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631	15.2.002	Advanced Placement and Credit Records - Awarded	Transfer credit evaluations, national or state standardized test scores and reports (e.g., CLEP, AP, Departmental, IB, SAT II), credit by examination authorizations and reports, military course documentation (e.g., DSST, USAFI) and evaluations, non-traditional transcripts and credentials, life experience records, requests for advanced credit, and similar documentation used by a university to evaluate and determine award of credit by advanced placement.	AC	3			AC = Graduation or date of last attendance.			



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632	15.2.003	Advanced Placement and Credit Records - Not Awarded	Transfer credit evaluations, national or state standardized test scores and reports (e.g., CLEP, AP, Departmental, IB, SAT II), credit by examination authorizations and reports, military course documentation (e.g., DSST, USAFI) and evaluations, non-traditional transcripts and credentials, life experience records, requests for advanced credit, and similar documentation used by a university to evaluate and determine award of credit by advanced placement.	AC	1			AC = End of academic year in which decision made.			
633	15.2.004	Applications for Admission to Program - Enrolled/Accepted	This series includes applications for admission to programs with admissions requirements separate and beyond those of the institution.	AC	2			AC = Student separation from the department or institution.		CAUTION: Not to be used for records of admissions to the institution. See URRS 15.1.001 and URRS 15.1.002.	
634	15.2.005	Applications for Admissions to Program - Not Enrolled/Denied	This series includes applications for admission to programs with admissions requirements separate and beyond those of the institution.	AC	1			AC = End of application term.		CAUTION: Not to be used for records of admissions to the institution. See URRS 15.1.001 and URRS 15.1.002.	



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635	15.2.006	Class Schedules of Students	This series provides a list of the classes registered for by an individual student for a particular semester.	AV							
636	15.2.007	Course Registration and Status Records	Registration forms, class rosters, and similar records providing information on which courses student are registered for at the beginning of an academic term, including documentation evidencing the conditions under which courses are undertaken (e.g., audit, pass/fail, and credit/no credit authorizations or approvals) or evidencing changes to registration status during the term (e.g., add/drop forms by student or instructor).	AV						CAUTION: Not to be confused with withdrawal records. See URRS 15.2.035.	
637	15.2.008	Curriculum Change Authorizations	This series documents student requests to change their field of major study, add or remove a simultaneous major, or add or change a minor.	AV							



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					Years	Months	Days				
638	15.2.009	Departmental Student Information Files	This series provides up-to-date information on student's activity from point of enrollment to graduation or date of last attendance. This series may include but not limited to: personal data, activity reports, graduate student qualifying examinations, copies of placement tests, copies of partial transcripts, correspondence, evidence of graduation or last date of attendance, and related information.	AC	3			AC = Student separation from the department or institution		CAUTION: International student academic records must be retained at least 1 year after final notice to USCIS. CAUTION: See URRS 12.1.002 and URRS 12.1.004 for additional retention requirements for International student records. See URRS 15.2.026 for student advising records	
639	15.2.010	Enrollment Census Reports (4th and 12th Class Day Rosters)	Attendance reports prepared by faculty on class census day and used as source documentation for enrollment reports submitted to the Texas Higher Education Coordinating Board (THECB).	FE	3						



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640	15.2.011	Faculty Grade Book	Record of students in the course and work completed. Includes computer and non-computer-generated grade sheets, and other such materials that permit a reconstruction of a student's graded performance in a course.	AC				AC = Expiration of grade appeal period.			
641	15.2.012	Grade Change Records	This series documents grade changes submitted by instructors through the academic departments to the Registrar.	PM							
642	15.2.013	Grade Reports (Report Cards to Students)	The series documents grades received by students for the term. This is the record copy of reports distributed to students at the end of each term. Individual forms include: course numbers and titles; grades awarded; grade point average; student name; and social security number or student ID number.	AC	1			AC = Date distributed.			
643	15.2.014	Graduation - Applications	Student applications for graduation.	AC	1			AC = Graduation or last date of attendance.			



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644	15.2.015	Graduation - Degree Audit and Authorizations	This series documents student completion of degree requirements, including authorizations certifying completion of degree requirements. The series may include but is not limited to: official graduation audit forms that list students' names; colleges; majors; degrees; minors; the breakdown of institutional degree requirements and how the applicants have fulfilled them; grade point averages; deans' recommendations/comments and signatures; and comprehensive examinations.	AC	3			AC = Graduation or last date of attendance.			
645	15.2.016	Graduation - Diploma Administration Records	This series includes records of diplomas picked up in person, mailed, and returned.	AC	1			AC = Request fulfilled.			
646	15.2.017	Hazelwood Act Documentation	This series documents eligibility to claim the Hazelwood exemption and institutional records to track benefit hours claimed.	PM							19 TAC 21.85, 19 TAC 21.54.



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647	15.2.018	Hazelwood Act Documentation - NonAwarded Applicants	This series documents eligibility to claim the Hazelwood exemption and institutional records to track benefit hours claimed.	AC	2			AC = Date loan denied		See URRS 15.2.033 for Veterans Affairs Certification Records and URRS 15.2.034 for all other records pertaining to the entitlement status and enrollment of veterans in the institution.	Texas Education Code Section 54.241, 19 TAC 21.85.
648	15.2.019	Holds and Encumbrances	Documents used to place and remove holds on registration, student services, or the release of transcripts or other academic data until the subject of the hold/encumbrance takes a specific action.	AC				AC = Date of release.			
649	15.2.020	Independent Study Records	This series documents departmental approval for students to enroll in independent study courses. This series may include but is not limited to: permission sheets with students' names; course names; number of credits; and faculty signatures.	AC	2			AC = Student separation from the department or institution.			
650	15.2.021	Internship Applications -- Not Enrolled/Denied	Applications for internship programs for which student was denied or did not enroll.	AC	1			AC = End of academic term in which internship occurred.		See URRS 15.2.022 for other internship program records.	



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651	15.2.022	Internship Program Records	This series is used to provide a record of the administration of student internship, practicum and cooperative education programs. Programs may be within the institution or off campus and for class credit and/or pay. This series may include but is not limited to: applications for internships inside and external to the institution; agreements with departments; postings/notices; student resumes; transcripts; copies of contracts; proposed institution listings; notes; and related documentation and correspondence.	AC	5			AC = End of academic term in which internship occurred.		See URRS 15.2.021 for internship applications for which student was denied or did not enroll.	
652	15.2.023	Name Change Records	This series documents student or applicant name changes reported to the admissions or registrar's offices by students. This series may include but is not limited to: letters requesting change in name; name change authorizations; and related documentation and correspondence.	AV						For other personal data update records (change of address forms, race/ethnicity questionnaires, and requests and authorizations to change other demographic data), see URRS 15.2.025.	



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653	15.2.024	Original Grade Sheets	The series reflects grades awarded by instructors and serves as the basis for students' official academic records. Also called Permanent Record Cards, Grade Cards, Grade Sheets. This series may include but not limited to: student names and social security numbers or ID numbers; course titles and numbers; sections; grades awarded; and instructors' signatures.	PM						CAUTION: This retention period applies to records of the Registrar. Departmental copies of grade sheets are convenience copies.	
654	15.2.025	Personal Data Update Records	Change of address forms, race/ethnicity questionnaires, requests and authorizations to change other demographic data, and similar source documentation used to update personal data information on transcripts or other student records.	AC	1			AC = Date of change			



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655	15.2.026	Student Advising Records	This series includes records of academic advisement to students. Series may include advisors' notes, advising checklists, and convenience copies of grade records maintained by registrars.	AC	3			AC = Student separation from the department or institution.			
656	15.2.027	Student Certification Records - Academic	This series documents student completion of certificate programs offered by university academic programs.	AC	5			AC = Graduation or date of last attendance.		CAUTION: Transcript notes regarding academic certifications awarded are maintained permanently by the Registrar. See URRS 15.2.028 for professional certification records (e.g., teacher certification records).	



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657	15.2.028	Student Certification Records - Professional	This series documents the preparation of students earning degrees and/or certification for licenses or certificates to enter a profession (e.g., teaching certificates) and forms the basis of the initial certification by external entities for various professions. This series may include but is not limited to: applications for admission to a program; registration for practicum hours and evidence of the completion of the practicum; transcripts; narrative evaluations on practicum; notice of completion of hours required for certification; recommendations and evaluations; and related correspondence.	AC	1			AC = End of certification period.		CAUTION: Accrediting agencies may require longer retention periods for professional certification records. Refer to accrediting agency to determine the term of the certification period. See URRS 15.2.027 for records of academic certifications	



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658	15.2.029	Student Coursework	This series documents student subject mastery in institution courses. This series may include but is not limited to: examinations and answers; quizzes and answers; homework assignments; course papers; term papers; and essay assignments.	AC	1			AC = End of academic term		CAUTION: Coursework under dispute may not be destroyed until the resolution of the dispute. CAUTION: See URRS 15.2.015 for comprehensive examinations. See URRS 15.2.009 for graduate student qualifying examinations.	
659	15.2.030	Thesis and Dissertation Records	This series documents the completion and academic acceptance of graduate theses and dissertations presented to colleges in fulfillment of requirements for graduate degrees. This series includes final and accepted copies of theses and dissertations.	PM					I		
660	15.2.031	Transcript Requests	Requests for transcripts to be provided to student or sent to other institutions.	AV							



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					Years	Months	Days				
661	15.2.032	Transcripts	Transcript, or a record equivalent in function, of the academic achievement of each enrolled student, documenting courses taken, credits granted, grades received, and any degrees or certifications awarded (including any narrative assessments or evaluations prepared in lieu of an assigned grade).	PM							
662	15.2.033	Veterans Affairs Certification Records	This series documents institutional submission of Certification of Enrollment reports required by the U.S. Department of Veterans Affairs (VA).	AC	3			AC = Date of last period certified.		See URRS 15.2.017 for Hazelwood Act documentation and URRS 15.2.034 for all other records pertaining to the entitlement status and enrollment of veterans in the institution.	38 CFR 21.4209(f), US Department of Veterans Affairs School Certifying Official Handbook.



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					Years	Months	Days				
663	15.2.034	Veterans Records	This series documents the entitlement status and enrollment of veterans in the institution. This series may include but is not limited to: individual veteran student records that certify to the U.S. Department of Veterans Affairs (VA) that the student is eligible for educational benefits, is currently enrolled at the institution in a qualifying curriculum, and is maintaining standards required to receive entitlements; veterans attendance reports; and related forms, documentation and correspondence.	AC	3			AC = Graduation or date of last attendance.		See URRS 15.2.017 for Hazelwood Act documentation and URRS 15.2.033 for records of U.S. Department of Veterans Affairs certification.	38 CFR 21.4209.
664	15.2.035	Withdrawal Forms and Authorizations	Requests and authorizations for a student to withdraw from classes after calendar deadlines without academic penalty for reasons acceptable to a university.	AV							



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					Years	Months	Days				
665	15.3.001	Fee Assessment Forms	This series documents the payment of fees for course fees, lab time, diplomas, commencement exercises, etc.	AC	5			AC = Graduation or date of last attendance.			



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666	15.3.002	Financial Aid Application and Award Records - All Local Grant, Scholarship, Loan, or Work-Study Programs	Including (to the extent applicable to specific programs): applications; financial aid need analysis and eligibility forms; financial aid transcripts; selective service registration compliance statements and any supporting documentation; statements of educational purpose; anti-drug abuse statements; Student Aid Report (SAR) or Institutional Student Information Report (ISIR); authorization and award forms; copies of documents submitted by students or parents for verification of student aid application information; and similar records relating to the application for and award of grants, scholarships, loans, veterans education benefits, or opportunities to participate in work-study programs. Includes records of recipients of all local grants, scholarships, loans, or work-study.	AC	3			AC = End of the award period.			



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667	15.3.003	Financial Aid Application and Award Records - All Other Federal or State Loan Programs	Including (to the extent applicable to specific programs): applications; financial aid need analysis and eligibility forms; financial aid transcripts; selective service registration compliance statements and any supporting documentation; statements of educational purpose; anti-drug abuse statements; Student Aid Report (SAR) or Institutional Student Information Report (ISIR); authorization and award forms; copies of documents submitted by students or parents for verification of student aid application information; and similar records relating to the application for and award of grants, scholarships, loans, veterans education benefits, or opportunities to participate in work-study programs. Includes records of recipients of all other federal or state loans.	AC	5			AC = End of the period for which the loan was intended.			



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					Years	Months	Days				
668	15.3.004	Financial Aid Application and Award Records - All Other Federal or State Grant, Scholarship, and Work-Study Programs	Including (to the extent applicable to specific programs): applications; financial aid need analysis and eligibility forms; financial aid transcripts; selective service registration compliance statements and any supporting documentation; statements of educational purpose; anti-drug abuse statements; Student Aid Report (SAR) or Institutional Student Information Report (ISIR); authorization and award forms; copies of documents submitted by students or parents for verification of student aid application information; and similar records relating to the application for and award of grants, scholarships, loans, veterans education benefits, or opportunities to participate in work-study programs. Includes records of recipients of all other federal or state grant, scholarship, and work-study programs.	AC	5			AC = End of award year.			



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669	15.3.005	Financial Aid Application and Award Records - Health Profession and Nursing Student Loan Programs	Including (to the extent applicable to specific programs): applications; financial aid need analysis and eligibility forms; financial aid transcripts; selective service registration compliance statements and any supporting documentation; statements of educational purpose; anti-drug abuse statements; Student Aid Report (SAR) or Institutional Student Information Report (ISIR); authorization and award forms; copies of documents submitted by students or parents for verification of student aid application information; and similar records relating to the application for and award of grants, scholarships, loans, veterans education benefits, or opportunities to participate in work-study programs. Includes records of recipients of health profession and nursing student loan programs, including the Health Education Assistance Loan (HEAL) Program.	AC	5			AC = Termination of enrollment as a full-time student.			42 CFR 57.215(b), 42 CFR 57.315(a)(2), 42 CFR 60.56(b).



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670	15.3.006	Financial Aid Application and Award Records - Income Contingent Loan (ICL), Perkins Loan, Federal Work-Study, Federal Supplemental Educational Opportunity Grant (FSEOG) Programs	Including (to the extent applicable to specific programs): applications; financial aid need analysis and eligibility forms; financial aid transcripts; selective service registration compliance statements and any supporting documentation; statements of educational purpose; anti-drug abuse statements; Student Aid Report (SAR) or Institutional Student Information Report (ISIR); authorization and award forms; copies of documents submitted by students or parents for verification of student aid application information; and similar records relating to the application for and award of grants, scholarships, loans, veterans education benefits, or opportunities to participate in work-study programs. Includes records of recipients of Income Contingent Loan (ICL), Perkins Loan, Federal Work-Study (FWS), and Federal Supplemental Educational Opportunity Grant (FSEOG) Programs.	AC	3			AC = Submission of annual report for the award year.			34 CFR 668.24, 34 CFR 674.19(e)(3), 34 CFR 675.19(b)(1), 34 CFR 676.19(b).



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					Years	Months	Days				
671	15.3.007	Financial Aid Application and Award Records - NonAwarded	Including (to the extent applicable to specific programs): applications; financial aid need analysis and eligibility forms; financial aid transcripts; selective service registration compliance statements and any supporting documentation; statements of educational purpose; anti-drug abuse statements; Student Aid Report (SAR) or Institutional Student Information Report (ISIR); authorization and award forms; copies of documents submitted by students or parents for verification of student aid application information; and similar records relating to the application for and award of grants, scholarships, loans, veterans education benefits, or opportunities to participate in work-study programs. Includes records of those who applied for but did not receive financial aid.	AC	1			AC = End of academic period for which aid denied.			



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					Years	Months	Days				
672	15.3.008	Financial Aid Application and Award Records - Pell Grant Program	Including (to the extent applicable to specific programs): applications; financial aid need analysis and eligibility forms; financial aid transcripts; selective service registration compliance statements and any supporting documentation; statements of educational purpose; anti-drug abuse statements; Student Aid Report (SAR) or Institutional Student Information Report (ISIR); authorization and award forms; copies of documents submitted by students or parents for verification of student aid application information; and similar records relating to the application for and award of grants, scholarships, loans, veterans education benefits, or opportunities to participate in work-study programs. Includes records of recipients of Pell Grants.	AC	5			AC = End of award year.			34 CFR 690.82(a)



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Retention Codes (field 7)

AC – See field 9 for specific records series definition
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Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
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1. Agency Code: 783		2. Agency Name: University of Houston System									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
673	15.3.009	Financial Aid Application and Award Records - Stafford and PLUS Programs	Including (to the extent applicable to specific programs): applications; financial aid need analysis and eligibility forms; financial aid transcripts; selective service registration compliance statements and any supporting documentation; statements of educational purpose; anti-drug abuse statements; Student Aid Report (SAR) or Institutional Student Information Report (ISIR); authorization and award forms; copies of documents submitted by students or parents for verification of student aid application information; and similar records relating to the application for and award of grants, scholarships, loans, veterans education benefits, or opportunities to participate in work-study programs. Includes records of recipients of Stafford loans (formerly Guaranteed Student Loans) and PLUS Program loans.	AC	3			AC = End of the period for which the loan was intended.			34 CFR 682.610(a)(2), 34 CFR 668.24.



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					Years	Months	Days				
674	15.3.010	Financial Aid Application and Award Records - Veterans Administration Education Assistance Allowances	Including (to the extent applicable to specific programs): applications; financial aid need analysis and eligibility forms; financial aid transcripts; selective service registration compliance statements and any supporting documentation; statements of educational purpose; anti-drug abuse statements; Student Aid Report (SAR) or Institutional Student Information Report (ISIR); authorization and award forms; copies of documents submitted by students or parents for verification of student aid application information; and similar records relating to the application for and award of grants, scholarships, loans, veterans education benefits, or opportunities to participate in work-study programs. Includes records of recipients of Veterans Administration educational assistance allowances.	AC	3			AC = Termination of enrollment.			38 CFR 21.4209(f)



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					Years	Months	Days				
675	15.3.011	Financial Aid Disbursement and Repayment Records - All Other Federal or State Loan Programs	Including (to the extent applicable to specific programs) disbursement and repayment forms; receipts; account cards; copies of promissory notes; certifications of enrollment status or other data to grantors or lenders; cancellation, deferment, or payment extension documentation; work-study certifications and time reports; documentation of entrance and exit interviews; records of contacts concerning overdue loans; correspondence between the university and the borrower, collection agencies, and credit bureaus; and similar records relating to the disbursement of grants, veterans education benefits, and work-study funds and the disbursement and repayment of loans. Includes disbursement and repayment records of all other federal or state loan programs whose funds are administered by agencies other than the university.	AC	5			AC = End of the period for which the loan was intended.			



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					Years	Months	Days				
676	15.3.012	Financial Aid Disbursement and Repayment Records - Institutionally Funded Loan Programs	Including (to the extent applicable to specific programs) disbursement and repayment forms; receipts; account cards; copies of promissory notes; certifications of enrollment status or other data to grantors or lenders; cancellation, deferment, or payment extension documentation; work-study certifications and time reports; documentation of entrance and exit interviews; records of contacts concerning overdue loans; correspondence between the university and the borrower, collection agencies, and credit bureaus; and similar records relating to the disbursement of grants, veterans education benefits, and work-study funds and the disbursement and repayment of loans. Includes disbursement and repayment records of institutionally-funded loan programs.	AC	3			AC = Date of final repayment or cancellation.			



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					Years	Months	Days				
677	15.3.013	Financial Aid Disbursement and Repayment Records - All Other University Administered Federal or State Loan Programs	Including (to the extent applicable to specific programs) disbursement and repayment forms; receipts; account cards; copies of promissory notes; certifications of enrollment status or other data to grantors or lenders; cancellation, deferment, or payment extension documentation; work-study certifications and time reports; documentation of entrance and exit interviews; records of contacts concerning overdue loans; correspondence between the university and the borrower, collection agencies, and credit bureaus; and similar records relating to the disbursement of grants, veterans education benefits, and work-study funds and the disbursement and repayment of loans. Includes disbursement and repayment records of all other federal or state loan programs whose funds are administered by the university.	AC	5			AC = Date of final repayment or cancellation.			



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					Years	Months	Days				
678	15.3.014	Financial Aid Disbursement and Repayment Records - Local Grant, Scholarship, or Work-Study Programs	Including (to the extent applicable to specific programs) disbursement and repayment forms; receipts; account cards; copies of promissory notes; certifications of enrollment status or other data to grantors or lenders; cancellation, deferment, or payment extension documentation; work-study certifications and time reports; documentation of entrance and exit interviews; records of contacts concerning overdue loans; correspondence between the university and the borrower, collection agencies, and credit bureaus; and similar records relating to the disbursement of grants, veterans education benefits, and work-study funds and the disbursement and repayment of loans. Includes disbursement and repayment records of local grant, scholarship, or work-study programs.	AC	3			AC = End of award year.			



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					Years	Months	Days				
679	15.3.015	Financial Aid Disbursement and Repayment Records - All Other Federal or State Grant, Scholarship, or Work-Study Programs	Including (to the extent applicable to specific programs) disbursement and repayment forms; receipts; account cards; copies of promissory notes; certifications of enrollment status or other data to grantors or lenders; cancellation, deferment, or payment extension documentation; work-study certifications and time reports; documentation of entrance and exit interviews; records of contacts concerning overdue loans; correspondence between the junior college and the borrower, collection agencies, and credit bureaus; and similar records relating to the disbursement of grants, veterans education benefits, and work-study funds and the disbursement and repayment of loans. Includes disbursement and repayment records of all other federal or state grant, scholarship, or work-study programs.	AC	5			AC = End of award year.			



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					Years	Months	Days				
680	15.3.016	Financial Aid Disbursement and Repayment Records - Veterans Administration Educational Assistance Allowances	Including (to the extent applicable to specific programs) disbursement and repayment forms; receipts; account cards; copies of promissory notes; certifications of enrollment status or other data to grantors or lenders; cancellation, deferment, or payment extension documentation; work-study certifications and time reports; documentation of entrance and exit interviews; records of contacts concerning overdue loans; correspondence between the junior college and the borrower, collection agencies, and credit bureaus; and similar records relating to the disbursement of grants, veterans education benefits, and work-study funds and the disbursement and repayment of loans. Includes disbursement and repayment records of Veterans Administration educational assistance allowances.	AC	3			AC = Termination of enrollment			38 CFR 21.4209(f).



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					Years	Months	Days				
681	15.3.017	Financial Aid Disbursement and Repayment Records - Health Education Assistance Loan (HEAL) Program	Including (to the extent applicable to specific programs) disbursement and repayment forms; receipts; account cards; copies of promissory notes; certifications of enrollment status or other data to grantors or lenders; cancellation, deferment, or payment extension documentation; work-study certifications and time reports; documentation of entrance and exit interviews; records of contacts concerning overdue loans; correspondence between the university and the borrower, collection agencies, and credit bureaus; and similar records relating to the disbursement of grants, veterans education benefits, and work-study funds and the disbursement and repayment of loans. Includes disbursement and repayment records of Health Education Assistance Loan (HEAL) Program.	AC	5			AC = Termination of enrollment as a full-time student.			42 CFR 60.56(b).



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					Years	Months	Days				
682	15.3.018	Financial Aid Disbursement and Repayment Records - Health Profession and Nursing Student Loan Programs	Including (to the extent applicable to specific programs) disbursement and repayment forms; receipts; account cards; copies of promissory notes; certifications of enrollment status or other data to grantors or lenders; cancellation, deferment, or payment extension documentation; work-study certifications and time reports; documentation of entrance and exit interviews; records of contacts concerning overdue loans; correspondence between the university and the borrower, collection agencies, and credit bureaus; and similar records relating to the disbursement of grants, veterans education benefits, and work-study funds and the disbursement and repayment of loans. Includes disbursement and repayment records of health profession and nursing student loan programs [excluding the Health Education Assistance Loan (HEAL) Program].	AC	5			AC = Date of retirement of loan.			42 CFR 57.215 (c), 42 CFR 57.315(a)(3).



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					Years	Months	Days				
683	15.3.019	Financial Aid Disbursement and Repayment Records - Stafford and PLUS Programs	Including (to the extent applicable to specific programs) disbursement and repayment forms; receipts; account cards; copies of promissory notes; certifications of enrollment status or other data to grantors or lenders; cancellation, deferment, or payment extension documentation; work-study certifications and time reports; documentation of entrance and exit interviews; records of contacts concerning overdue loans; correspondence between the university and the borrower, collection agencies, and credit bureaus; and similar records relating to the disbursement of grants, veterans education benefits, and work-study funds and the disbursement and repayment of loans. Includes disbursement and repayment records of Stafford (formerly Guaranteed Student Loan) and PLUS Programs.	AC	5			AC = End of the period for which loan was intended.			34 CFR 682.610(a)(2)



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					Years	Months	Days				
684	15.3.020	Financial Aid Disbursement and Repayment Records - Pell Grant Program	Including (to the extent applicable to specific programs) disbursement and repayment forms; receipts; account cards; copies of promissory notes; certifications of enrollment status or other data to grantors or lenders; cancellation, deferment, or payment extension documentation; work-study certifications and time reports; documentation of entrance and exit interviews; records of contacts concerning overdue loans; correspondence between the university and the borrower, collection agencies, and credit bureaus; and similar records relating to the disbursement of grants, veterans education benefits, and work-study funds and the disbursement and repayment of loans. Includes disbursement and repayment records of Pell Grant Program.	AC	3			AC = End of award year.			34 CFR 690.89(a), 34 CFR 668.24



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					Years	Months	Days				
685	15.3.021	Financial Aid Disbursement and Repayment Records - Federal Work-Study (FWS) and Federal Supplemental Educational Opportunity Grant (FSEOG) Programs	Including (to the extent applicable to specific programs) disbursement and repayment forms; receipts; account cards; copies of promissory notes; certifications of enrollment status or other data to grantors or lenders; cancellation, deferment, or payment extension documentation; work-study certifications and time reports; documentation of entrance and exit interviews; records of contacts concerning overdue loans; correspondence between the university and the borrower, collection agencies, and credit bureaus; and similar records relating to the disbursement of grants, veterans education benefits, and work-study funds and the disbursement and repayment of loans. Includes disbursement and repayment records of Federal Work-Study (FWS) and Federal Supplemental Educational Opportunity Grant (FSEOG) Programs.	AC	3			AC = Submission of annual report for the award year.			34 CFR 675.19(b)(1), 34CFR 676.19(b), 34CFR 668.24(a).



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					Years	Months	Days				
686	15.3.022	Financial Aid Disbursement and Repayment Records - Income Contingent Loan (ICL) and Perkins Loan Program	Including (to the extent applicable to specific programs) disbursement and repayment forms; receipts; account cards; copies of promissory notes; certifications of enrollment status or other data to grantors or lenders; cancellation, deferment, or payment extension documentation; work-study certifications and time reports; documentation of entrance and exit interviews; records of contacts concerning overdue loans; correspondence between the university and the borrower, collection agencies, and credit bureaus; and similar records relating to the disbursement of grants, veterans education benefits, and work-study funds and the disbursement and repayment of loans. Includes disbursement and repayment records of Income Contingent Loan (ICL) and Perkins Loan Programs.	AC	5			AC = Date of final repayment or cancellation.		See URRS 15.3.026 for Perkins Original Promissory Notes.	34 CFR 674.19(e)(3)



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					Years	Months	Days				
687	15.3.023	Financial Aid Program - Fiscal Operations Report (FISAP)	The Fiscal Operations Report and Application to Participate in the Federal Perkins Loan, Federal Supplemental Educational Opportunity Grant (FSEOG), and Federal Work-Study (FWS) Programs (FISAP) and any records necessary to support the data contained in the FISAP.	AC	3			AC = End of the award year in which the report was submitted.			34 CFR 668.24(e)(1)(i), 324 CFR 674.19(e)(3)(i), 34 CFR 675.19(b)(1), 34 CFR 676.19(b).
688	15.3.024	Financial Aid Program - Health Profession and Nursing Student Loan Administration Records	Records documenting the fiscal administration by a university of a health profession or nursing student loan.	AC	3			AC = Submission of periodic report.			45 CFR 74.53(b).



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					Years	Months	Days				
689	15.3.025	Financial Aid Program - Institutional Program Files	Documentation of the university's participation in financial aid programs (such as Federal Title IV). Required records include: Program Participation Agreements; application portion of the Fiscal Operations Report and Application to Participate (FISAP); accrediting and licensing agency reviews, approvals, reports; state agency reports; audit and program review reports; self-evaluation reports; other records pertaining to financial responsibility and standards of administrative capacity.	AC	3			AC = End of award year.			34 CFR 668.24, 674.19(e)(3)(i), 34 CFR 675.19(b)(1), 34 CFR 690.82(a), 34 CFR 676.19(b)
690	15.3.026	Perkins Original Promissory Notes	This series consists of the promissory notes for student loans negotiated for the current academic year.	AC				AC = Until loan is satisfied or documents are needed to enforce obligation.			34 CFR 674.19(e)(4).



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					Years	Months	Days				
691	15.3.027	Tuition Exemption and Remission Records	Applications for and supporting documentation evidencing the grant of tuition exemptions or remissions. This series may include but is not limited to: authorizations; reconciled lists; account summaries; and related documentation.	AC	3			AC = End of award year.			
692	15.3.028	Tuition Rebate Documentation	Includes tuition rebate form and any supporting documentation pertaining to college tuition rebate program under Texas Education Code Sec. 54.0065.	AC	5			AC = Graduation or date of last attendance.			
693	15.4.001	Access Policies	Written policies and procedures demonstrating how a district meets the requirements of the Family Educational Rights and Privacy Act (FERPA) of 1974, as amended, and federal rules adopted under the act.	US							
694	15.4.002	Access Waiver Records	Waivers of access by students to confidential letters and confidential statements of recommendation and revocations of such waivers.	AC				AC = Life of the record to which access waiver documentation applies.			



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695	15.4.003	Disclosures	Record of each request for access to and each disclosure of personally identifiable information from the educational records of a student: documentation of requests from and disclosures to any party other than the student, an official of the university for what the university has determined are legitimate educational interests, a party with or without written consent from the student, or a party seeking directory information.	AC				AC = As long as disclosed record is maintained			34 CFR 99.32(a)(2)
696	15.4.004	Protest of Record Statements	Statements by students commenting on contested information in a student record, or stating why he or she disagrees with a university's decision not to amend a record, or both.	AC				AC = Life of the record containing the contested information.			34 CFR 99.21(c)(1).



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					Years	Months	Days				
697	15.4.005	Record Amendment Requests	Requests from students to amend student records, notices by an institution of denial or consent to amendments, requests for hearings on denied requests, hearing notices, and written decisions by hearing examiners.		2						
698	15.4.006	Student Nondisclosure Requests	Student request to opt out of directory information disclosure.	AC				AC = Until termination of nondisclosure request.			34 CFR 99.37(b).
699	15.4.007	Written Consents	Written consents for information disclosure from the eligible student or student's parents.	AC				AC = Until termination of waiver.			



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700	15.5.001	Academic Standing Reports	This series documents student academic standing, including academic deficiency and the status changes of academically deficient students. This series may include but not limited to: reports containing student names, grade point averages (GPA's), grade point deficiencies, and numbers of previous suspensions and probations; student petitions for re-evaluation; report of student progress toward academic readmission/removal of probation status at other institutions; academic honors and awards; and related documentation and correspondence.		3						



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701	15.5.002	Admissions/Enrollment Reports	Summary and statistical information relating to student admission programs which may be used for control, planning or review. This series may include but not limited to: Texas Higher Education Coordination Board (THECB) report: reports sent to administration; or beginning of semester enrollment reports sent to office of institutional research.	PM						For raw data or working files used to create these reports, see RRS 1.1.065.	
702	15.5.003	Class Lists	This series provides instructional units with an official record of students enrolled in courses taught. The series is used to cross-check students who have enrolled against those who have registered as well as in the generation of statistical reports. Information in the series includes: student names; social security numbers or other student identification numbers; term; and enrollment/registration status.	AC				AC = When the list of students who have enrolled has been cross-checked with the list of students who have registered.		CAUTION: Class lists often have long-term value in the generation of statistical and other reports. They should be reviewed before disposal, as some of these records may merit long-term or permanent retention.	



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703	15.5.004	Recruitment Records	This series documents effort of the institutional units to recruit students based upon disadvantaged status, academic performance, and other criteria. This series may include but is not limited to: prospects lists; advertisement tearsheets; direct mail pieces; promotional literature; and similar material used to recruit students.		3					CAUTION: For recruitment of individual students, see URRS 15.5.005. For recruitment of athletes into the institution's intercollegiate athletics program, see URRS 18.2.018.	
704	15.5.005	Recruitment Records - Individual Students	This series documents effort of the institutional units to recruit individual students based upon disadvantaged status, academic performance, and other criteria. This series may include but is not limited to: interview notes; conversation notes; personal information forms and resumes; test scores; photographs; and academic transcripts.	AC	1			AC = End of application term.		CAUTION: Does not include records of recruitment of athletes into the institution's intercollegiate athletics program. See URRS 18.2.018.	



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705	15.5.006	Statistical Reports	Annual statistical reports related to academic subjects, such as admissions reports, enrollment statistics, grades, graduates/degree statistics, racial/ethnic composition, and other education related matters submitted to the governing body, state or federal agencies, or accrediting organizations.	PM					I		
706	15.5.007	Student Conduct Records/Disciplinary Action Records	This series documents academic dishonesty and conduct violations among students. This series may include but is not limited to: incidents reports; final reports; evidence; notification of allegation; disciplinary reports; informal discussion notes; formal hearing notes; final summary statements; decision statements; appeals documentation; and related documentation and correspondence.	AC	5			AC = Graduation or date of last attendance.			



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707	15.5.008	Student Grievance Records	This series documents grievance brought forward by students against the institutions which do not result in litigation. Grievances may pertain to academic issues; housing; affirmative action and equal opportunity; student conduct; and other issues. This series may include but is not limited to: notices of grievance; informal discussion notes; grievance responses; formal hearing notes (including audio tapes); final summary statements; settlement agreements; appeals documentation; and related records. Portions of these records may be exempt from public disclosure.	AC	5			AC = Graduation or date of last attendance.		CAUTION: If a grievance brought forward by students against the institution becomes part of litigation, it should be retained as a litigation record per RRS 1.1.048. If the grievance goes to the university ombudsman, the record should be retained as an ombudsman record per RRS 3.3.039.	



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708	15.5.009	Student Statistical Reports Raw Data	Includes raw data or working files used to create annual or summary Student Statistical Reports. This series may include but not limited to: specialized listings and statistical reports pertaining to departmental and college registration; course changes; add/drops, geographical distribution of students; student age and gender data; mortality of classes; student transfers from other schools; student body grade point averages and GPAs of living groups; and veterans enrollment; reports documenting student and enrollment by term; and reports on other topics.	AV							



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709	16.1.001	Abuse and Neglect Records	This records series documents abuse and/or neglect findings observed during patient care. The findings may be evidence of child, domestic, elder, or other kinds of abuse. This series may include but is not limited to: incident/variance reports submitted to the proper authorities and related correspondence.	AC	10			AC = Report date. If the patient is a minor, the record retention period is extended until ten years after the minor reaches the age of majority.			
710	16.1.002	Adverse Drug Event Records	Records related to adverse drug events or medical occurrences in patients and others served by the institution, excluding events taking place in the course of a research study.		5						
711	16.1.003	Birth Reports	This records series consists of all necessary information for the completion of the birth certificate including baby's name, weight, height, time/date/location of birth and information on the baby's parents. The record copy of the birth certificate is retained by the Office of Vital Statistics.	AC	21			AC = Report date.			



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714	16.1.006	Communicable Disease Records	This series fulfills the public health requirement of reporting the discovery of communicable disease. This series may include but is not limited to: laboratory test results; name and address of patient; date; and person making referral. Information is transferred to the county health department, but the log is maintained by the laboratory.		3						
715	16.1.007	Continuing Medical Education (CME) Class Records	This records series documents the administration of and participation in Continuing Medical Education (CME), Continuing Dental Education (CDE), and Continuing Nursing Education (CNE) training courses or programs and may include but is not limited to: course agendas, descriptions, and syllabi; course outlines and materials; enrollment and attendance records, training requests and authorizations, certificates of completion; and related documentation and correspondence.		6						Accreditation Council for Continuing Medical Education (ACCME).



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716	16.1.008	Counseling Case Records	This series documents all clients who are provided counseling services by the institution's counseling center. Clinicians provide treatment concerning personal problems, academic concerns, and career concerns. This series may include but not limited to: extensive notes made by providers concerning the assessment, diagnosis, treatment and contacts (written, telephone, or in person) with each client; referral letters; release of information agreements; letters to agencies or others concerning the clients; and related documentation.	AC	5			AC = Last contact with client.		CAUTION: Please refer to URRS 16.1.034 for Psychological or Psychiatric Case Records.	22 TAC 681.41(r).
717	16.1.009	Disclosure of Protected Health Information	This records series documents disclosure of Protected Health Information (PHI) in accordance with the Health Information Portability and Accountability Act (HIPAA) compliance regulations.	FE	6						



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718	16.1.010	Donor Records - Medical	Records that document the final disposition of the donated/willed body to the program and to transfer the donated body and/or specimen to a facility. This series may include but is not limited to: completed bequeathal forms and cadaver information for people who have donated their bodies to the institution; death certificates; State Anatomical Board (SAB) Form B, that is attached to all death certificates; copies of SAB Form B; signed receipt from the providing institution or facility; tracking form and Morgue Control Sheet that identifies the acceptance of the body, date, and time of receipt, and all transfer and return shipment documentation of body and/or specimen requests and transfers for delivery to another facility, department, etc., documentation relating to the final disposition of the body, and any relating correspondence.	PM							



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719	16.1.011	Medical Assistance Applications	This records series contains applications submitted on behalf of a patient to a drug company's or medical institution's assistance program. The series may include but is not limited to: program application forms, validation letters and forms for reapplying, and any paperwork that may be included with the medications when they are sent to the department and subsequently dispensed to the patient.	AC	1			AC = Until superseded or discontinued.			
720	16.1.012	Drug Recall Notices	United States Food and Drug Administration (FDA) and manufacturer recalls on drugs. This series may include but is not limited to, reportable occurrences of drug use, recalls through the manufacturer and responses by departments.	AC				AC = 5 years after the records of manufacture have been completed or six months after the latest expiration date for the individual product, whichever later.			21 CFR 600.12.



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721	16.1.013	Final Laboratory Test Reports - Pathology	This records series consists of the legally reproduced copies of each test result and preliminary reports on pathology testing. Documentation includes all the information recorded on the test requisition plus the specimen's accession number, the date and time the lab received the specimen, the condition and disposition of samples which do not meet the lab's acceptance standards, the records and dates of performance of each step in the patient testing leading to and including the final report. This series is specific to pathology, histology, and cytology records.			10					42 CFR 493.1101
722	16.1.014	Forensic Autopsy Records	Records related to forensic autopsies, including but not limited to reports, slides, photographs/negatives, and accession logs.	PM						NOTE: This series applies only to inquests into a death occurring in a county that does not have a medical examiner's office or that is not part of a medical examiner's district.	CAP and CLIA Recommendation



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723	16.1.015	Forensic Autopsy Supporting Documents	This records series consists of copies of hospital, nursing home, ambulance, or police homicide records used as reference materials for medical examiner investigations, for use in court cases of wrongful death, or a medical/legal case. These records, or portions of them, are used as factual foundation in concert with autopsy findings in the formation of cause-of-death opinions. This series may include but is not limited to: cause of death worksheet, interview notes, and a duplicate of the Death Certificate, the original certificate is filed with the Bureau of Vital Statistics.	AC	25					Note: Death Certificates are confidential under Texas Law for 25 years from the date of the event. If the death was less than 25 years ago, the certified copies can only be obtained by qualified applicants. A qualified applicant is defined as the registrant, or immediate family member either by blood or marriage, his or her guardian, or his or her legal representative.	25 TAC 181.11



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724	16.1.016	Health Assessment	This series documents provision of health-related services, for example: cholesterol screening, blood pressure testing, etc. This series may include but is not limited to: tests; goals and objectives; diagnostic reports; questionnaires; permission to forward the information to the patient's primary care physician, and related data.			2					
725	16.1.017	Health Related Services / Denied or Not Seen	This records series documents instances where outpatients are referred to the institution by noninstitutional practitioners who are denied health-related services or who are not seen by the institution	AV							
726	16.1.018	Immunization Record and Consent Forms	Signed consent forms and records noting the type of immunization performed which are not included in the patient's medical record.	AC				AC = 21st birthday or 10 years following end of calendar year in which the consent form was signed, whichever is later.		CAUTION: For immunization reports required by the Texas Education Code and the Texas Health and Safety Code, see RRS 1.1.007.	



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727	16.1.019	Indefinite Deferral List	This records series consists of lists of potential donors who have been deferred indefinitely due to abnormal test results.	PM							American Blood Bank (AABB) and Standards for Blood Banks and Transfusion Services (BB/TS), Current Edition, Standard 6.2a.
728	16.1.020	Laboratory Inspection Records - Calibration Records	This series documents in-house inspection of laboratory equipment on a quarterly basis. This series comprises calibration records.		3						42 CFR 493.1105, 25 TAC 289.202(nn)(1).
729	16.1.021	Licensure Records for Health Personnel and Facilities	This series documents the professional and regulatory issuance of credentials to individuals and facilities providing services within the health institution. This series may include but is not limited to: license applications; College of American Pathologist (CAP) comparative test results for laboratory licensing; individual employee professional licenses; and related correspondence.	US						CAUTION: Institutions should ensure that they are keeping licenses for as long as required by the organization issuing the license.	



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730	16.1.022	Medicaid Provider Records	All records necessary to fully disclose the services provided, including financial records relating to program services.	AC	5			AC = Date of service or until all audit questions, appeal hearings, investigations, or court cases are resolved.			1 TAC 354.1004 and Texas Medicaid Provider Procedures Manual, Chapter 1.
731	16.1.023	Medical Device Recall Notices and Responses	United States Food and Drug Administration (FDA), Safe Medical Devices Act (SMDA) and manufacturer recalls on all medical, food and drug devices. This records series may include but not be limited to: reportable occurrences on devices, recalls through the manufacturer and responses by institutional departments.	AC				AC = 15 years or the expected life of device, whichever is later.			21 CFR 806.20(c), 21 CFR 821.60.



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732	16.1.024	Medical Logs	This series is used to log in patients who visit the health institution (both in-patients and out-patients). It may also be used to create annual census reports and 3-year census comparisons. This series may include but is not limited to: the date and time that the patient came in; appointment; admission; transport; dispatch; the physician assigned; diagnosis; discharge; patient photo; patient service; length of stay; master schedule sheets; expired drug disposal; and remarks.		3						



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733	16.1.025	Medical Record	This records series consists of original patient care documents for every patient seeking care or service from university's health institution(s). The Medical Record is designed to contain written interpretations of all significant clinical information gathered for a given patient, whether as an inpatient, outpatient, or emergency care patient. This series may include but is not limited to: reason for the encounter and relevant history, physical examination findings and prior diagnostic test results; an assessment, clinical impression, or diagnosis; plan for care (including discharge plan if appropriate); the date and legible identity of the observer; past and present diagnoses; the rationale for and results of diagnostic and other ancillary services; the patient's progress, including response to treatment, change in diagnosis, and patient's non-compliance; relevant risk factors; written consents for treatment or surgery requested from the patient/family by the physician; salient records received from another physician or health care provider involved in the care or treatment of the	AC	7			AC = Date of last service. Or, retain until patient reaches age 21, whichever is later.		CAUTION: For psychological and psychiatric case records, refer to 16.1.034. For counseling case records, see URRS 16.1.008. For medical records at a student health center, see URRS 16.1.026. For medical source data, see URRS 16.1.038.	22 TAC 165.1(b)



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734	16.1.026	Medical Records - Student Health Clinic	This series documents the medical services history provided for students treated by the student health center. This series may include but is not limited to: appointment request slips; summary sheets; bacteriology test results; treatment record forms; diagnosis sheets; health history/screening sheets; initial evaluation/assessment sheets; referral sheets; health center billing statements; personal health history sheets; dental examination sheets and X-rays; laboratory test results; physical therapy notes; X-ray release forms; X-ray requisitions with narrative of radiologist; notes; memoranda; and related correspondence.	AC	7			AC = Date of last service. Or, retain until patient reaches age 21, whichever is later.		CAUTION: For psychological and psychiatric case records, see URRS 16.1.034	22 TAC 165.1(b)



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735	16.1.027	Medical Rotation Records / Non-Affiliated Medical Students, Residents and Fellows	This records series documents medical students, residency physicians, or fellows not affiliated with this university, but are accepted to practice medicine under the supervision of a licensed physician at this hospital as part of an elective not offered at their hospital. This series may include but is not limited to: formal request to rotate, CV, criminal background check, drug test, permit to practice medicine, evaluations, and related correspondence. Note: Records for affiliated students are kept with other student records, and records for affiliated residents/fellows are kept with residency records.	AC	5			AC = Completion of training or date of last attendance.			



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736	16.1.028	Medical Treatment Plans / Teaching Files	Medical and dental treatment plans used primarily for teaching purposes. Records may include but are not limited to copies of patient work-up forms, diagnosis, treatment and management plan for each patient that is seen over a 2 week period. Patient demographics, medication list, patient needs risk assessment, and insurance information may also be included.	AC	5			AC = After term in which the course is taught			
737	16.1.029	Non-Forensic Autopsy Records	Records relating to non-forensic autopsies, including reports and slides.		10						CAP and CLIA recommendation
738	16.1.030	Patient Valuables Inventory	This records series documents the inventory of patient valuables.	CE	10					CAUTION: If the inventory is kept as a log, then the retention period begins when the log is full.	Texas Property Code, Section 74.103.



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739	16.1.031	Pharmacy - Drug Administration Records	Inventory and other records of the purchase, acquisition, disposal, or dispensation of drugs as required by federal law and regulations, state law, and the rules of the Texas State Board of Pharmacy (TSBP).	AC	2			AC = The later of the date that the record was required to be created, the record was created, or the prescription was last filled.		CAUTION: See URRS 16.1.032 for prescription records. By federal regulation, inventories and records of all controlled substances must be maintained separately from all other records of the pharmacy	21 CFR 1304.04(a), Health and Safety Code, Section 481.067(c), 37 TAC 13.207.



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740	16.1.032	Pharmacy - Prescription File	Paper prescription slips or electronic prescription records for controlled substances maintained in accordance with federal law and regulations, state law, and the rules of the Texas State Board of Pharmacy (TSBP).	AC	2			AC = The later of the date that the record was required to be created, the record was created, or the prescription was last filled.		CAUTION: See URRS 16.1.031 for inventory and other drug administration records. CAUTION: By federal regulation, paper prescriptions for Schedule II controlled substances shall be maintained in a separate prescription file. Paper prescriptions for Schedules III, IV, and V controlled substances shall be maintained either in a separate prescription file for Schedules III, IV, and V controlled substances only or in such form that they are readily retrievable from the other prescription records of the pharmacy. Electronic records must be readily retrievable at the registered location if requested by the Drug Enforcement Administration (DEA) or other law enforcement agent. An electronic application storing prescription data must be capable of printing out or transferring the records in a format that is readily understandable to a DEA or other	21 CFR 1304.04, Health and Safety Code, Section 481.075(i)(2), Health and Safety Code, Section 483.023, 37 TAC 13.207.



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741	16.1.033	Poison Center Case Sheets	This records series consists of a record of calls made to the Poison Control Center documenting individual poisoning or suspected poisoning incidents. Information may include date/time called, location of call, case number, name of individual, ingestion, treatment and medical outcome.		21						



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742	16.1.034	Psychological and Psychiatric Case Records	This series documents all clients who are provided psychological and psychiatric services by the institution's counseling center. Clinicians provide treatment concerning personal problems, academic concerns, and career concerns. The psychiatric consultant provides psychiatric care to some student clients. This series may include but not limited to: extensive notes made by providers concerning the assessment, diagnosis, treatment and contacts (written, telephone, or in person) with each client; referral letters; release of information agreements; letters to agencies or others concerning the clients; and related documentation	AC	7			AC = Last contact with client		CAUTION: For patients less than 18 years of age when last treated, the records must be retained until the patient reaches age 21 or for seven years from the date of last treatment, whichever is later. For Counseling Case Records, see URRS 16.1.008.	Health and Safety Code, Section 241.103, 22 TAC 165.1(b).



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743	16.1.035	Quality Assurance Records/Health Services	This series documents the setting of measurable standards and procedures for health systems and professional quality by professionals on staff. This series may include but is not limited to: documentation of equipment monitoring, checks of quality control items, and any necessary corrections; reports by the staff; quality assurance committee notes; Morbidity & Mortality (M&M) conferences for residents, staff reviews and related correspondence.	FE	3						



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744	16.1.036	Resident Physician Formative Evaluation	Created during the periods of training. Evaluations are completed by attending physicians, peer physicians, supervising physicians, residents, or medical students. Includes raw data and questionnaires used to provide an evaluative record of resident physicians, evaluative comments regarding clinical knowledge, skills, interpersonal relationships, and personal/professional characteristics.	AC				AC = After resident has graduated or until any dispute involving the resident has been resolved, whichever occurs later.			
745	16.1.037	Residents/Fellows Training Records	Provides a comprehensive record of accepted physicians in training. Used to verify completion of residency education requirements. This series may include but limited to: summative evaluations; letters of recommendation; contract renewals for training and employment; Certification of Residency; Completion of Resident Program; related correspondence, etc.	AC	50			AC = Completion of training.		Note: This series is not for regular Continuing Medical Education or employee training records, but is instead specific to the training requirements for medical residents and fellows.	



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746	16.1.038	Source Data - Medical	This records series includes health information stored in any original media. This series may include but is not limited to, paper diagnostic tests or tools, X-rays, videotapes, ultrasounds, fetal monitor strips, photographs (either conventional photos or digital images), EKG strips, and ancillary or supporting systems (e.g. pharmacy information systems and radiation oncology information systems). The medical record must contain a written interpretation of all Source Data. Source Data is distinct from the written interpretations of significant clinical information that has been forwarded to the medical record.		5					CAUTION: Some source data, such as fetal monitoring strips or mammography images, may need to be kept longer. Please verify retention requirements for these special kinds of source data.	42 CFR 482.26(d)(2).



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747	16.1.039	Student Health History Forms	This series documents a student's medical history. The series contains student medical history forms for students who have never visited an institution's student health center and therefore do not have a medical record on file. These forms are a prerequisite for enrollment at most institutions.	AC	3			AC = Graduation or date of last attendance.			
748	16.1.040	Student Health Insurance Records	University copies of information relating to the selection by students of health insurance offered to students through the university.	AC				AC = Until superseded or date of last attendance.			
749	16.1.041	Surgical Instrument Sterilization Records	This series documents the sterilization of surgical instruments used by the health institution. This series may include but is not limited to: autoclave recording charts and log sheets indicating date; load number; items sterilized; and temperature/time settings.		3						



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750	16.2.001	Circulation Records	This series documents the borrowing of circulating library materials by qualified patrons. This series may include but is not limited to: the name and identification of the borrower; the titles of materials borrowed; the due date; overdue and fine payment notations; and related documentation and correspondence.	AC				AC = Transaction is completed.		The disposal of circulation records needs not be documented through destruction authorizations, see RRS 1.2.001, or in records disposition logs, see RRS 1.2.010.	



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751	16.2.002	Collection Control Records	This series documents the maintenance of materials which typically involve accessioning, cataloging, preserving, and/or referencing. This series may include but is not limited to: deeds of gift; appraisal reports (monetary or non-monetary); accession sheets; archives transmittal lists; accession reports; purchasing information; recommendations concerning deaccessioning of specific holdings and action upon those recommendations; and related documentation and correspondence.	PM						See RRS 2.1.011 (Finding Aids, Indexes, and Tracking Systems) for archival finding aids.	



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752	16.2.003	Collection or Artifact Loan Records	This series documents artifact and material loans contracted between units of the institution or between the institution and either other institutions or individuals. This series may include but not limited to: signed and legally binding agreements for incoming and outgoing loans between the collection administrators; receipts for loans and return of materials to the legal holder; and related forms, documentation and correspondence.	AC	4			AC = Acceptance of return of items per contract terms.		Upon the expiration of the retention period, repositories should consider transferring loan records to the URRS 16.2.002 Collection Control Record if they possess continuing reference or administrative value.	
753	16.2.004	Courtesy Borrower Records	Records documenting guest borrowers of library materials. Records may include guest borrower's name, address, telephone number, company or institution name, and patron status.	AC				AC = Expiration of borrowing privileges and clearing of fines.		CAUTION: If borrower application serves as an agreement between the borrower and the institution (e.g., to follow library rules), see RRS 5.1.001.	
754	16.2.005	Equipment Checkout Records	Records documenting the physical control of the library's lending program for equipment (e.g., laptops, tablets, cameras, etc.) to individual borrowers.	FE	3						



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755	16.2.006	Exhibit Records	This series documents the display and use of artifacts and materials held by the collection units or displays created by the units. This series may include but is not limited to: artifact labels or placards; photographs of exhibits; planning documents; publicity materials; exhibit renderings; exhibit assembly and presentation instructions; and related documentation and correspondence.	AC				AC = Conclusion of exhibit.	O	ARCHIVES NOTE: For museums, archival review and selection may be performed by museum curatorial staff. Materials pertaining to major exhibits may possess long-term historical value and may be retained either in the institutional archives or the museum unit, as appropriate.	
756	16.2.007	Interlibrary Loan (ILL) Records	This series documents requests made of the institutions within the university library system for materials by outside institutions and also institution requests for materials from other library systems. This series applies to circulating library resources only (not to archival, special collections or museum materials).	FE	3					CAUTION: Records Management Officers should ensure that ILL records maintained by a third-party vendor are retained in accordance with this record series.	



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757	16.2.008	Library Catalog	Catalog of bibliographic records used as a guide to library holdings.	US						The disposal or supersession of library catalog records needs not be documented through destruction authorizations, see RRS 1.2.001, or in records disposition logs, see RRS 1.2.010.	
758	16.2.009	Library Materials Control Records	Includes records of the acquisition and cataloging of library material.	AC				AC = Catalog updated.		CAUTION: Does not include the library catalog. See URRS 16.2.008. CAUTION: SEE RRS 4.7.004 for records documenting purchase of library materials. The disposal of library material control records needs not be documented through destruction authorizations, see RRS 1.2.001, or in records disposition logs, see RRS 1.2.010.	



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759	16.2.010	Patron Registration Records	Patron registration forms filled out by archives users to gain access to the reading room to view archival materials. May also include photocopies of photo identification or other related materials.		4					See RRS 5.4.011 for sign-in sheets, guest books, patron logs, and similar records documenting visitors to limited access or restricted areas of university facilities.	
760	16.2.011	Permissions History Files	Records of the repository granting/denying permission to reproduce images of items in the collection. Includes permission forms and correspondence requesting permission to publish images from archival collections.	AV							
761	16.2.012	Reference Request Records	This series documents requests for information about, or access to, items within the institution's collections. This series may include but is not limited to: reference request forms; general email correspondence; disposition of or time spent fulfilling the requests; call slips (also called pull slips); and related documentation and correspondence.	FE	3						



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762	16.3.001	Antenna and Transmitter Documentation	Records documenting the monitoring, inspection, measurement, repair, and illumination of antenna, antenna supporting structures, and transmitters authorized to operate with a power output in excess of two watts.		1						47 CFR 90.447.
763	16.3.002	Arrest Reports	Arrest report and fingerprints on each person arrested and charged with a felony or a misdemeanor not punishable by fine only. Report includes the name (including aliases), date of birth, and physical description of the offender; the name of the arresting agency; the arrest charge and whether it is a felony or a misdemeanor; the date of arrest; and the date and exact disposition of the case by the agency.		75					May be destroyed upon date of death of individual, if known. See URRS 16.3.036 for Class C misdemeanors or other violations punishable by fine only. CAUTION: If the arrest report does not provide the information listed in the record description, documents from offense investigation records, see URRS 16.3.035, enough to provide the information must be retained 75 years or until date of death of the individual	



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767	16.3.006	Campus Fire Statistics - Fire Statistics	Statistics on the number of fires, the number of persons who received fire-related injuries, the number of deaths related to fire, and the property damage caused by fire for each on-campus student housing facility.		3						35 CFR 668.49.
768	16.3.007	Campus Notifications	Emergency notifications distributed to the campus community regarding emergencies, evacuations, "timely warnings" related to public safety, and weather related instructions. Typical situations may include shelter in place directives, building evacuations, areas to avoid because of dangerous conditions, descriptions of suspects wanted in connection with criminal activities, notices of natural gas leaks, etc. Notifications may be sent via email, text message, or other method. Note: emergency notifications may be combined for Clery Act reporting purposes.		3				0		



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769	16.3.008	Chemical Breath Test Records	Logs, test records, operational check lists, and similar records relating to the administration of chemical breath tests.		2						
770	16.3.009	Child Abuse Reports	Copies of child abuse reports received by a law enforcement agency pursuant to Family Code, Sections 261.103 and 261.105, which do not become part of arrest and offense investigation records.		3						
771	16.3.010	Clery Act Reporting - Annual Security Report	Annual security report created pursuant to the Clery Act		7				O	NOTE: This record may possess ongoing administrative value to the creating department for research purposes.	20 USC 1092(f), 34 CFR 668.46.
772	16.3.011	Clery Act Reporting - Crime Log	A written, easily understood crime log that records the nature, date, time, general location, and disposition of the complaint (if known) of crimes investigated by campus police.		7						20 USC 1092(f), 34 CFR 668.46.



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773	16.3.012	Clery Act Reporting - Crime Statistic	Statistics on criminal homicide; sex offenses; robbery; aggravated assault; burglary; motor vehicle theft; arson; and arrests for liquor law violations, drug law violations and illegal weapons possession. Includes crimes occurring on campus, in or on non-campus buildings or property, and on public property as defined by 34 CFR, Section 668.46(a) (the Clery Act).		3						21 USC 1092(f), 34 CFR 668.46.
774	16.3.013	Clery Act Reporting - Emergency Response and Evacuation Procedures	Policies developed to provide warning to students and employees of crimes representing a threat to safety, as required by the Clery Act.	AC	7			AC = Until superseded, expired, or discontinued			22 USC 1092(f), 34 CFR 668.46.
775	16.3.014	Communication Logs	Records of internal communications, including telephone and radio logs.				30				



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					Years	Months	Days				
776	16.3.015	Criminal Intelligence and Analysis Files	Records created and maintained to anticipate, prevent, or monitor possible criminal activity, including crime pattern, crime analysis, and modus operandi reports; forecasts; evaluation reports; investigation recommendations; reports on movements of known offenders; information on confidential informants; and messages and alerts from other agencies.	AV						Information compiled by a law enforcement agency concerning criminal combinations or criminal street gangs must be destroyed after 3 years if: (1) the information relates to the investigation or prosecution of criminal activity engaged in by an individual other than a child; and (2) the individual to whom the information relates has not been charged with criminal activity. In determining whether information is required to be removed, the three-year period does not include any period during which the individual who is the subject of the information is confined in the institutional division or the state jail division of the Texas Department of Criminal Justice (TDCJ)	Code of Criminal Procedure, Section 61.06(b).



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777	16.3.016	Daily Bulletins	Routine informational communication for officers and personnel on duty, issued daily (or as often as needed). This series may include but is not limited to: Daily Blotter; Daily Crime and Fire Log; and/or "be on the lookout for" (BOLO) notifications. May also include weather advisories for officers.		1						
778	16.3.017	Death in Custody Reports	Copies of reports submitted by the director of a law enforcement agency to the Attorney General concerning the deaths of persons while in the custody of a peace officer		3						
779	16.3.018	Dispatch Reports	Record created by dispatcher on each call for service documenting the dispatch of a campus police officer to investigate a disturbance or possible crime on the institution's campus. Includes date and time call received, nature of call, and details of action taken in response to call.		2				O		



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780	16.3.019	Emergency Protective Order Lists	Periodic lists of persons under protective orders.	US							
781	16.3.020	Emergency Protective Orders - Issued by Magistrate pursuant to Family Code Ch. 85	Emergency protective orders issued by magistrates pursuant to Chapter 85 of the Family Code.	AC				AC = Period that the order is effective or 2 years after order issued, whichever later.			Family Code, Section 85.025
782	16.3.021	Emergency Protective Orders - Issued pursuant to Code of Criminal Procedure	Emergency protective orders issued by magistrates pursuant to Article 17.292(a), (b)(1), or (b)(2), Code of Criminal Procedure. This series is for protective orders issued on the magistrate's own motion or on the request of the victim of the offense, the guardian of the victim, a peace officer, or the attorney representing the state; or a protective order issued after the arrest for an offense involving family violence, if the offense involved serious bodily injury to the victim or in which the arrest is for an offense that involved the use or exhibition of a deadly weapon during the commission of an assault.	AC				AC = Period that the order is effective.			Code of Criminal Procedure, Section 17.292 (j)



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783	16.3.022	Dating and Family Violence Reports	Dating and family violence reports that do not become a part of arrest or offense investigation records. Includes reports of violence between roommates.		3						
784	16.3.023	Field Interrogation Reports	Reports on persons stopped and interrogated in the field because of suspicious behavior	AV							
785	16.3.024	Fingerprint Records	Fingerprint records maintained in paper or on automated systems of missing persons, suspects, known offenders, incarcerated persons, etc.	AV						Fingerprint records of persons arrested for offenses other than Class C misdemeanors must be retained 75 years or until date of death of individual, if known by the arresting agency. See URRS 16.3.002. For fingerprints collected during an investigation, see URRS 16.3.035, URRS 16.3.038, and URRS 16.3.037	



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786	16.3.025	Fire Alarm and Drill Records	This series documents response to any alarm that is activated on campus. This series may include but is not limited to the following information: when and where the incident occurred; specific response; reset time; and rewind time, if appropriate.		3						
787	16.3.026	GPS Tracking Records	Global Positioning System (GPS) data used to track locations of police vehicles.				30			CAUTION: If the GPS data is used to establish the location of a police vehicle as part of an investigation, SEE investigation case file. The disposal or overwriting of GPS data need not be documented through destruction authorizations, see RRS 1.2.001, or in records disposition logs, see RRS 1.2.010.	



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788	16.3.027	Campus Security and Incident Reports	Reports concerning suspicious incidents or complaints that, after investigation, did not appear to have involved the commission of a crime. This series may include but not limited to: incident reports containing names, dates, case numbers, dollar values, locations, descriptions of incident, and personnel taking report; identification cards created when reports of suspicious behavior are made to the office; warnings records; notes; and related documentation. Information may be exempt from public disclosure.		3						20 U.S.C. 1092(f).



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789	16.3.028	Law Enforcement Information Dissemination, Inquiry, and Receipt Records	Reports, logs, and other records pertinent to documenting the dissemination and receipt of criminal histories and dissemination of other information to law enforcement or other agencies through crime information networks (e.g., TCIC, NCIC). Includes records of the dissemination of information other than criminal histories (e.g., missing persons, stolen property) and records of inquiries for and the receipt of information, including criminal histories.	AV						CAUTION: Departments other than campus law enforcement see RRS 3.1.026 for criminal history checks.	
790	16.3.029	Internal Affairs Investigation Records - Death/Injury	Records documenting the initiation, investigation, and disposition of internal affairs investigations of alleged misconduct by law enforcement officers. Includes records of investigation of law enforcement shooting incidents which result in death or injury to any person, including a police officer.	PM							



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					Years	Months	Days				
791	16.3.030	Internal Affairs Investigation Records - Formal Discipline	Records documenting the initiation, investigation, and disposition of internal affairs investigations of alleged misconduct by law enforcement officers. Includes records of investigations that result in sustained formal discipline (i.e., disciplinary action at or above the level of a written reprimand).	AC	15			AC = Completion of the investigation.			
792	16.3.031	Internal Affairs Investigation Records - Informal Discipline/Inconclusive	Records documenting the initiation, investigation, and disposition of internal affairs investigations of alleged misconduct by law enforcement officers. Includes records of investigations that result in sustained informal discipline (i.e., disciplinary action below the level of a written reprimand) or of investigations whose findings are inconclusive.	AC	5			AC = Completion of the investigation.		CAUTION NOTE: A 1-year infraction-free period must precede the date of destruction.	



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793	16.3.032	Internal Affairs Investigation Records - Unfounded/Not Sustained	Records documenting the initiation, investigation, and disposition of internal affairs investigations of alleged misconduct by law enforcement officers. Includes records of investigations whose findings are not sustained, or in cases where accusations are determined to be unfounded or the accused is exonerated.	AC	3			AC = Completion of the investigation.		CAUTION NOTE: A 1-year infraction-free period must precede the date of destruction.	
794	16.3.033	Missing and Unidentified Persons Files	Reports on missing children and adults, requests for investigation, photographs, fingerprints, dental records, X-rays, notifications of possible match, and similar documents relating to the location of missing children and adults, including similar records relating to unidentified bodies.	AC	3			Date person located or body identified			
795	16.3.034	Mug Shots	Photographs of known offenders used by crime victims or witnesses for identification.	AV							



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796	16.3.035	Offense Records - Class A and B Misdemeanors and State Jail Felonies	Cases cleared by the conviction or acquittal of the person arrested or cited, by the dismissal of charges against the person, or by the entry on the record of a court by a prosecuting attorney of a nolle prosequi. Includes offense and supplemental offense reports; investigation reports and notes; witness statements; latent fingerprints; results of chemical analysis and polygraph tests; crime scene, mug shot, and other photographs; laboratory reports; citations; affidavits; criminal process; victim impact statements; and other records relating and customary to the investigation of criminal offenses or other violations of state law or local ordinance.		2					CAUTION: Records of cases not cleared must be retained until the statute of limitations has expired. NOTE: Records may be destroyed upon the death of the individual, if known.	



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					Years	Months	Days				
797	16.3.036	Offense Records - Class C Misdemeanors	Arrest reports and citations for Class C misdemeanors and unclassified violations of state law or local ordinance punishable by fine only, such as Minor in Possession (MIP), Minor in Consumption (MIC), and possession of drug paraphernalia.			6					



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					Years	Months	Days				
798	16.3.037	Offense Records - First-degree and Capital Felonies	Cases cleared by the conviction or acquittal of the person arrested or cited, by the dismissal of charges against the person, or by the entry on the record of a court by a prosecuting attorney of a nolle prosequi. Includes offense and supplemental offense reports; investigation reports and notes; witness statements; latent fingerprints; results of chemical analysis and polygraph tests; crime scene, mug shot, and other photographs; laboratory reports; citations; affidavits; criminal process; victim impact statements; and other records relating and customary to the investigation of criminal offenses or other violations of state law or local ordinance.		50					CAUTION: Records of cases not cleared must be retained until the statute of limitations has expired. NOTE: Records may be destroyed upon the death of the individual, if known.	



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					Years	Months	Days				
799	16.3.038	Offense Records - Second- and Third-Degree Felonies and DWI Offenses	Cases cleared by the conviction or acquittal of the person arrested or cited, by the dismissal of charges against the person, or by the entry on the record of a court by a prosecuting attorney of a nolle prosequi. Includes offense and supplemental offense reports; investigation reports and notes; witness statements; latent fingerprints; results of chemical analysis and polygraph tests; crime scene, mug shot, and other photographs; laboratory reports; citations; affidavits; criminal process; victim impact statements; and other records relating and customary to the investigation of criminal offenses or other violations of state law or local ordinance.		10					CAUTION: Records of cases not cleared must be retained until the statute of limitations has expired. NOTE: Records may be destroyed upon the death of the individual, if known.	



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800	16.3.039	Parking Citation Records	This series documents the regulation of on-campus parking. This series may include but is not limited to: citations; appeal petitions; and related documentation and correspondence.	AC	3			AC = Resolution.			
801	16.3.040	Parking Permit Records	This series documents the issuance of permits for on-campus parking. This series may include but is not limited to: annual permit cards; temporary permits; parking permits reports; and related documentation and correspondence.	AC	3			AC = Until superseded or permit expired.			
802	16.3.041	Pawn Shop Tickets	Information supplied by pawn shops and sent to law enforcement. Includes individual receipts or lists of items pawned with corresponding serial numbers (as applicable).	AV							



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803	16.3.042	Police Activity Logs or Dockets	Logs or equivalent records, usually arranged chronologically or by case, court, or citation number, providing summary data on complaints investigated by law enforcement officers, arrests made, citations issued, accidents investigated, court arraignments, court appearances by officers, and similar activities relating to the arrest or citation of persons or the investigation of offenses.		2				O	ARCHIVES NOTE: Archival review required only if logs or dockets are kept in a bound volume.	
804	16.3.043	Police Animal Records	Records concerning horses, dogs, or other animals utilized by campus police, including records of the acquisition of the animal, its registration and pedigree papers (if applicable), records of training, and its veterinary history.	AC	2			AC = Retirement or sale of the animal.			



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805	16.3.044	Police Audiovisual Recordings - Class C/Not Charged	Audiovisual recordings, including those from police vehicles, body worn cameras, or digital cameras, of persons detained for possible Driving While Intoxicated (DWI) or other violations. Includes recordings of persons on whom either a Class C misdemeanor charge is filed, or on whom no charges are filed.	AC			90	AC = Date of the stop.		CAUTION: A recording created with a body worn camera and documenting an incident that involves the use of deadly force by a peace officer or that is otherwise related to an administrative or criminal investigation of an officer may not be deleted, destroyed, or released to the public until all criminal matters have been finally adjudicated and all related administrative investigations have concluded. The disposal of police audiovisual recordings need not be documented on a disposition log, but institutions should establish procedures governing disposal of these records as part of its records management plan.	Code of Criminal Procedure, Section 2.135-2(b).



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806	16.3.045	Police Audiovisual Recordings - Offense Greater than Class C	Audiovisual recordings, including those from police vehicles, body worn cameras, or digital cameras, of persons detained for possible DWI or other violations. Includes recordings for offenses greater than Class C misdemeanors.	AC				AC = 30 days after entry of final judgment in the case, or 90 days after date of stop, whichever is later.		CAUTION: A recording created with a body worn camera and documenting an incident that involves the use of deadly force by a peace officer or that is otherwise related to an administrative or criminal investigation of an officer may not be deleted, destroyed, or released to the public until all criminal matters have been finally adjudicated and all related administrative investigations have concluded. The disposal of police audiovisual recordings need not be documented on a disposition log, but institutions should establish procedures governing disposal of these records as part of its records management plan.	Code of Criminal Procedure, Section 2.135-2(b).



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807	16.3.046	Polygraph Examination Records	Polygraph charts, question sheets, reports of examination results, data sheets, films, audio and video of examinations, opinions from the examiner from chart analysis, and other records pertinent to a polygraph examination.	2							
808	16.3.047	Rap Sheets	Copies of rap sheets received from the Texas Department of Public Safety (DPS) or other law enforcement agencies.	AV							
809	16.3.048	Special Watch Records	Informational forms or lists provided to officers for campus areas, buildings, or residences needing special watch, including requests from the public for such watches.	AV							



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					Years	Months	Days				
810	16.3.049	Surveillance Videos	Video surveillance for, but not limited to, security of property and persons.	AV						CAUTION: If the surveillance video is needed as part of an investigation it should be retained with the see investigation case file. The disposal or overwriting of surveillance videos need not be documented through destruction authorizations, see RRS 1.2.001, or in records disposition logs, see RRS 1.2.010.	
811	16.3.050	Wanted Persons Files	Records received on persons wanted by other law enforcement agencies.	AV							
812	16.3.051	Warning Citations	Warning citations issued for violations of motor vehicle laws or for those violations of the penal code (e.g., criminal trespass) in which the issuance of warning citations is customary.	AV							



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					Years	Months	Days				
813	16.3.052	Weapons Records - Disposition	Records documenting the disposition of police weapons, including but not limited to buyback programs, trade-ins and upgrades with vendors.		3						
814	16.3.053	Weapons Records - Inspection and Repair	Records of inspection and repair of weapons	LA							
815	16.3.054	Weapons Records - Inventory	Inventories of weapons.	US	3						
816	16.3.055	Weapons Records - Issuance	Logs for issuing weapons, such as guns and tasers, to officers.	AC	3			AC = Return of weapon.			
817	16.4.001	Alcoholic Beverage Control Records	This series is used to provide a record of annual and temporary event licensing for dispensing and serving alcoholic beverages. This series may include but is not limited to: alcohol use requests or waivers, applications for event licenses or permits, and related documentation and correspondence.	AC	3			AC = Date of event.			
818	16.4.002	Menus	This series is used to provide a record of approved menus in each food service location. It is also used for cost planning and ordering of food and supplies.	AV						CAUTION: If menu's primary function is providing a price list, see RRS 5.1.012.	



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819	16.4.003	Student Housing Applications	Applications and selection decision documentation for applications that do not result in occupancy. May also include consumer reports and authorizations to obtain credit information.	AC	1			AC = End of application term		CAUTION: If the institution obtains credit report information, then records created under this series must be retained 5 years beyond the application term. Fair Credit Reporting Act (FCRA), 15 USC 1681p. For applications that do result in occupancy, see URRS 16.4.005.	



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820	16.4.004	Student Housing Judicial Record	This series provides a record of the disposition of appeals made by residents who violated housing policies and were assessed penalties for failing to follow terms of their housing or food service contracts. This series may include but is not limited to: students' appeals stating their reasons for seeking modification of contract terms; decisions from the director of housing, including instructions for further appeal if students have additional relevant information and desire to proceed; and related documentation and correspondence.	AC	4			AC = Expiration of contract or resolution of incident, whichever is later.		CAUTION: See URRS 16.3.027 for incidents referred to law enforcement. See URRS 15.5.007 for incidents that result in disciplinary action	



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821	16.4.005	Student Housing Tenant Records	This series provides a record of occupancy in all institution administered housing -- residence halls, family housing, or cooperative housing. This series may include but is not limited to: housing applications and contracts; proof of admission records; and related documentation and correspondence.	AC	4			AC = End of student's occupancy or, for contracts, expiration of contract.			
822	16.5.001	ADA (Americans with Disabilities Act) Accommodation Request	Requests for employees and students participating in the Services to Students with Disabilities (SSD) or similar program, and anyone visiting university facilities. Includes supporting documentation.	AC	3			AC = Date of last contact.		CAUTION: See URRS 16.1.034 for counseling record	



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823	16.5.002	Career Counseling and Placement Records	Used to assist students in planning career goals and objectives. This series also provides prospective employers with a record of students' scholastic and personal data. This series may include but is not limited to: career goals; academic credentials; personal data; work experience; honors; distinctions; consent forms for release of information; records regarding graduation or last date of attendance; and related information.	AC	5			AC = Graduation or date of last attendance.			
824	16.5.003	Child and Youth Program Participant Records	This series documents the participation of children and youth in programs sponsored by the institution. The series may include but is not limited to: applications; enrollment records; progress reports and assessments; immunization records; parental consent forms; activity records; lists of attendees; and related correspondence.	AC	3			AC = End of program session or student separation from program, as applicable.			



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825	16.5.004	Child-Care Center Records Health-Care Professional Recommendations/Orders	Includes healthcare professional recommendations or orders for providing specialized medical assistance to the child.	AC		3		AC = Health-care professional has indicated that the specialized medical assistance is no longer needed.			40 TAC 746.603(a)(10) and (b)(2).
826	16.5.005	Child-Care Center Records Individual Child	Enrollment agreement; admission information; statement of child's health from a health-care professional; immunization records; tuberculin testing information and hearing/vision tests (if applicable); Licensing Incident/Illness Report form.	AC		3		AC = Child's last day in care.			40 TAC 746.603(a)(1-8) and (b)(3), 40 TAC 746.801(1).
827	16.5.006	Child-Care Center Records Licensing, Safety, and Compliance	Child-care center administrative records required by the Texas Department of Family and Protective Services under 40 TAC §746.801.			3				CAUTION: Refer to the Texas State Records Retention Schedule for personnel and training records, including employee attendance records.	40 TAC 746.801 and 746.803
828	16.5.007	Child-Care Center Records Medication Administration	Medication logs, instructions, and other records related to the administration of medication to children in the child-care facility's care.	AC		3		AC = Administration of medication.		CAUTION: See URRS 16.5.004 for health-care professional recommendations or orders for specialized medical assistance.	40 TAC 746.603(a)(9) and (b)(1)



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829	16.5.008	Identification Card Administration Records	This series includes images, application forms, or similar records documenting the issuance of identification cards to university students, staff, or faculty.	AC				AC = Until superseded or expired.		CAUTION: For records documenting the issuance of keys, identification cards, or similar instruments of access to university facilities, see RRS 5.4.012.	



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830	16.5.009	Non-Institution Student Records	This series documents and tracks the application, selection, and progress in special instructional programs of elementary through high school and non-institution students belonging to special, minority, or disadvantaged groups. Examples of programs to which this series applies are Science and Mathematics Investigative Learning Experiences (SMILE), Upward Bound, High School Equivalency, and other non-institution programs. This series may include but is not limited to: application and admission documentation; personal and family information; medical and health documentation; selection and decision making documentation; Educational Opportunity Program (EOP) documentation; notification of admission and non-admission; recommendations and evaluative materials; copies of academic records; counseling and advising notes and documentation; housing and conduct documentation; federal student aid reports; risk release and insurance forms; immigration and citizenship documentation; financial responsibility	AC	3			AC = Student separation from program.			



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831	16.5.010	Recruiters Records	This series provides a record of recruiter visits to the campus to participate in job fairs or conduct job interviews. This series may include but is not limited to: scheduling calendars; recruiter schedules; Affirmative Action statements; recruiter information forms; lists of interviewees; feedback forms from recruiters; and related documentation and correspondence.		2						



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832	17.1.001	Academic Program Administrative Records	This series documents the daily and routine administration of academic programs of the department or college. This series may include but is not limited to: registration reports; add-drop analyses and reports; course enrollment summaries by class; graduation summaries; majors by class level; international activities; cooperative ventures; summer term classes and enrollment reports; placement information; convenience copies of reports prepared by admissions, registrar's, and other offices; memos; working papers; and related documentation and correspondence.		5				O		
833	17.1.002	Class Scheduling Records - Published Schedule of Classes	This series documents the formulation of class schedules by academic departments for inclusion in the published schedule of classes. This series includes the final edition of the schedule of classes.	PM					O		



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834	17.1.003	Class Scheduling Records - Working Files	This series documents the formulation of class schedules by academic departments for inclusion in the published schedule of classes. This series may include but is not limited to: requests from departments for class offerings; deviation from schedule forms; copies of course schedule maintenance forms; requests for class changes; working papers; and related documentation and correspondence.		1						
835	17.1.004	Commencement Records	This series documents commencement program planning and implementation at the institution. This series may include but is not limited to: commencement attendance forms; planning records created by commencement committees or other planning groups; and related documentation and correspondence.	AC	4			AC = After commencement events.	O		



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836	17.1.005	Continuing Education Course Records - Final Report	This series documents for-credit and not-for-credit course offerings and individual course contents as offered by Continuing Education (also called "extension" classes). This series comprises final and summary reports, including Texas Higher Education Coordinating Board (THECB) Report CBM00X, for students in self-supporting courses and programs.	PM					O		



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837	17.1.006	Continuing Education Course Records - Working Files	This series documents for-credit and not-for-credit course offerings and individual course contents as offered by Continuing Education (also called "extension" classes). These records include: syllabi; course descriptions; course outlines; course request proposals; enrollment reports; course summaries; request for undergraduate and graduate course and instructor approval forms; nominations to the undergraduate faculty; course announcements; handout materials; budget requests; budget status forms; vouchers; and related documentation and correspondence.		5					CAUTION: Some of these records may affect accreditation and should be kept long enough to meet accreditation cycle requirement.	



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838	17.1.007	Cooperative Program Records - Administrative	This series documents the institution's participation in cooperative and shared educational or research programs. Such programs may share research facilities and resources or instructional programs such as programs permitting student matriculation at member institutions. This series may include but is not limited to: information on requirements and application procedures; committee minutes; meeting agendas; and memos of interpretation and understanding.	PM					O		



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839	17.1.008	Cooperative Program Records - Program Records	This series documents the institution's participation in cooperative and shared educational or research programs. Such programs may share research facilities and resources or instructional programs such as programs permitting student matriculation at member institutions. This series may include but is not limited to: applications and eligibility certificates; working papers; fiscal records; and related documentation and correspondence.	AC	7			AC = Termination of program or agreement.			



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840	17.1.009	Course Records	This series provides a record of departmental course offerings and individual course contents. This series may include but is not limited to: syllabi; course descriptions; course outlines; course summaries; course requests and proposals; curriculum approval lists; lists of classes by term; bibliographies; reading lists; course announcements; handout materials; and related documentation and correspondence.	AC	2			AC = End of semester in which course is taught.			Texas Education Code Section, 51.974.
841	17.1.010	Course Schedule Maintenance Forms	This series documents requests for changes to be made to the institutional catalog and schedule of classes. The forms include: course numbers; course titles; locations; grading modes; course descriptions; designators; fees; and credit hours.		2						



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842	17.1.011	Degree Program Proposal, Development and Review Records - Working Files	This series provides a record of planning and discussions relating to the implementation of new undergraduate and advanced degree programs and any major reorganization or changes to established programs. This series may include but is not limited to: working papers; letters of support; review agendas; faculty status reports; and related documentation and correspondence.		5						



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843	17.1.012	Degree Program Proposal, Development and Review Records - Final Reports, Minutes, Proposals, and Degree Program Reviews	This series provides a record of planning and discussions relating to the implementation of new undergraduate and advanced degree programs and any major reorganization or changes to established programs. This series may include but is not limited to: final reports; curriculum committee meeting minutes; curriculum proposals; and reviews of individual degree programs by campus and off-campus sources.	PM					O		



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844	17.1.013	Non-University Student Program Administration Records - Policy and Program Development Records	This series documents the administrative activities of special instructional and support programs directed to serve elementary through high school and noninstitution students belonging to special, minority, or disadvantaged groups. Examples of programs to which this series applies are Science and Mathematics Investigative Learning Experiences (SMILE), Upward Bound, High School Equivalency, and other special non-institution student programs. This series comprises policy and program planning and development documentation.	PM					O		



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845	17.1.014	Non-University Student Program Administration Records - Working Files	This series documents the administrative activities of special instructional and support programs directed to serve elementary through high school and noninstitution students belonging to special, minority, or disadvantaged groups. Examples of programs to which this series applies are Science and Mathematics Investigative Learning Experiences (SMILE), Upward Bound, High School Equivalency, and other special non-institution student programs. This series may include but is not limited to: evaluations of courses, support services, and instructors; program course outlines; tuition payment records; reports; statistical reports; working papers; and related documentation and correspondence.	5							



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846	17.1.015	Space Deficit/Allocation Records	This series includes documents used to determine the university's space deficit for purposes of the legislative allocation of funds to universities.	AC	6			AC = September 1 of odd-numbered calendar years.		CAUTION: For records relating to the reservation of rooms for classes and events, see RRS 5.2.026.	



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847	17.1.016	Special Academic Programs Records - Policy and Program Development Records	This series documents the administrative activities of special academic programs serving and aiding institution students. Programs documented by this series range from special requirement and certification programs to programs aimed at assisting and encouraging target groups of institution students. Included are the National Student Exchange (NSE) program; English language programs; honors programs; minority scholars programs; minority student recruitment programs; disabled student programs; non-traditional student programs; educational opportunities programs; older than average student programs; Native American science programs; study abroad programs; and other special academic programs. This series may comprise policy and program planning and development reports and documentation.	PM					O		



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					Years	Months	Days				
848	17.1.017	Special Academic Programs Records - Working Files	This series documents the administrative activities of special academic programs serving and aiding institution students. Programs documented by this series range from special requirement and certification programs to programs aimed at assisting and encouraging target groups of institution students. Included are the National Student Exchange (NSE) program; English language programs; honors programs; minority scholars programs; minority student recruitment programs; disabled student programs; non-traditional student programs; educational opportunities programs; older than average student programs; Native American science programs; study abroad programs; and other special academic programs. This series may include but is not limited to: explanatory materials on the program; notes; evaluations of courses, support services, and instructors; program course outlines; tuition payment records; program participation and aid selection records; activity accounting records; working papers; reports; and related documentation and		7						



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849	17.1.018	Student Faculty/Course Evaluation Records - Non-Tenure Track Faculty	This series documents students' evaluations of non-tenure track teaching personnel and is used to help determine faculty promotion, merit increases and/or to review instructional courses and programs. These records provide students' opinions on faculty members' familiarity with current literature of the discipline, preparation, assignments, examinations, lecture styles, willingness to engage in dialogue, and availability. Records include: bubble forms (input documents); course reaction inventory printouts; statistical tabulations; summary reports; and related documentation and correspondence.	AC	3			AC = After course is completed.			



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					Years	Months	Days				
850	17.1.019	Student Faculty/Course Evaluation Records - Tenure Track Faculty	This series documents students' evaluations of tenure-track teaching personnel and is used to help determine faculty tenure, promotion, merit increases and/or to review instructional courses and programs. These records provide students' opinions on faculty members' familiarity with current literature of the discipline, preparation, assignments, examinations, lecture styles, willingness to engage in dialogue, and availability. Records include: bubble forms (input documents); course reaction inventory printouts; statistical tabulations; summary reports; and related documentation and correspondence.		7					CAUTION: Retention period should be longer if a university's tenure review cycle is longer than 7 years.	



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851	17.2.001	Professional Accreditation Records - Working Files	This series documents the accreditation process for the colleges, units, and related programs. The series provides a record of materials compiled for inclusion in a report packet sent to the appropriate professional accreditation board for the specific program or service and usually includes statements on mission, finance, educational programs and departments/divisions make up. Most accreditation organizations produce an evaluation report based on the packet and on-site inspection, which is used to determine accreditation for the units and their programs. This series may include but is not limited to: statistical data; working papers; and related documentation and correspondence.	AC				AC = End of 2 accreditation cycles.			



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852	17.2.002	Professional Accreditation Reports	This series documents the accreditation process for the colleges, units, and related programs. The series provides a record of materials compiled for inclusion in a report packet sent to the appropriate professional accreditation board for the specific program or service and usually includes statements on mission, finance, educational programs and departments/divisions make up. Most accreditation organizations produce an evaluation report based on the packet and on-site inspection, which is used to determine accreditation for the units and their programs. This series may include but is not limited to: self-evaluation reports; final reports sent to accreditation organization; accreditation organization evaluation report; and related documentation and correspondence.	PM					O		



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853	17.3.001	Animal Breeding and Management Records	This series includes records relating to the care, management and breeding of animals for research and teaching purposes.	AC				AC = Life of animal or transfer of animal to another institution		CAUTION: If the research facility has been notified in writing that specified records shall be retained pending completion of an investigation or proceeding, the research facility shall hold those records until their disposition is authorized in writing by the United States Department of Agriculture, Animal and Plant Health Inspection Service.	7 USC 2131 B 2157, 9 CFR 2.35, Public Health Service (PHS) Policy on Humane Care and Use of Laboratory Animals (D.L. 99158).
854	17.3.002	Denied Research Grant Proposal Applications Records	This series documents grant proposals developed by institutional units which have not been funded. This series may include but is not limited to: supporting statistics; demographic data; draft proposals; suggested revisions; final proposals; and related documentation and correspondence.	AC	2			AC = Date of notification.			



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855	17.3.003	Institutional Animal Care and Use Committee (IACUC) Records - Committee Records	This series includes meeting minutes, records of attendance, activities of the Committee, Committee deliberations, records of proposed activities involving animals and proposed significant changes in activities involving animals, and whether IACUC approval was given or withheld, and semiannual IACUC reports and recommendations (including minority views).	AC	3			AC = Completion of the activity.		CAUTION: If the research facility has been notified in writing that specified records shall be retained pending completion of an investigation or proceeding, the research facility shall hold those records until their disposition is authorized in writing by the United States Department of Agriculture, Animal and Plant Health Inspection Service.	9 CFR 2.35.
856	17.3.004	Institutional Biosafety Committee Minutes	This series includes meeting minutes of the Biosafety Committee.		5						



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857	17.3.005	Institutionally Funded Research - Minutes and Final Research Reports	This series documents the activities of the institutional councils and boards, which review proposals and make recommendations for awards to faculty for research that is not otherwise supported by organized or directed programs but is designed to lead to other funding sources. Examples of projects funded are pilot research, emergency funding, emerging research opportunities, new research field or new research field for investigator, developing research laboratories, and centrally shared research resources. This series includes meeting minutes and final research reports.	PM					O		



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858	17.3.006	Institutionally Funded Research - Project Funding Review	This series documents the activities of the institutional councils and boards, which review proposals and make recommendations for awards to faculty for research that is not otherwise supported by organized or directed programs but is designed to lead to other funding sources. Examples of projects funded are pilot research, emergency funding, emerging research opportunities, new research field or new research field for investigator, developing research laboratories, and centrally shared research resources. This series may include but is not limited to: project financial reports and funding summaries.	FE	3						



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859	17.3.007	Institutionally Funded Research - Project Review Records	This series documents the activities of the institutional councils and boards, which review proposals and make recommendations for awards to faculty for research that is not otherwise supported by organized or directed programs but is designed to lead to other funding sources. Examples of projects funded are pilot research, emergency funding, emerging research opportunities, new research field or new research field for investigator, developing research laboratories, and centrally shared research resources. This series may include but is not limited to: applicant case files; agendas; notes; working papers; award letters; and applications for research support.	AC	5			AC = Date of notification.			



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860	17.3.008	Intellectual Property Agreements	Includes license agreements, knowhow agreements, and other contractual agreements resulting from the licensing of technology or the transfer of intellectual property.	AC	7			AC = Completion of all terms and extensions of the agreement.	O	CAUTION: Does not include patent records. See URRS 17.3.011.	OMB Circular A110.53 authorized by 31 U.S.C. 503, 31 U.S.C. 1111, 41 U.S.C. 405, and E.O. 11541.



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861	17.3.009	Patent and Invention Records - Auxiliary Files	This series documents the transfer of technology from the institution to outside agencies as the result of research projects and grants carried out at the institution. This series may include but is not limited to: patent applications; agreements giving permission for institutional researchers to use other patented inventions in their research; and related documentation and correspondence; descriptions and titles of inventions; sources of funding to create the inventions; details of the provenance of the inventions and their documentation; suggested manufacturers; reports issued concerning the inventions; and signatures of inventors and technically qualified witnesses.		7				O		



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862	17.3.010	Patent and Invention Records - Denied or Not Pursued	This series includes records relating to disclosures or applications for patents that are either not filed or otherwise pursued by the university, or which are denied by the US Patent and Trademark Office (USPTO).	AC	7			AC = Date of last office action or related correspondence in file.	O	These patent applications remain confidential unless published by the US Patent and Trademark Office or an international patent office.	
863	17.3.011	Patent and Invention Records - Patents, Licensing, and Disclosure Records	This series documents the transfer of technology from this institution to outside agencies as the result of research projects and grants carried out at the institution. This series includes: original patents; international licensing agreements; and invention disclosure forms that list the names of the inventors and to whom the inventions have been disclosed.	AC	6			AC=Expiration of the patent.			



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864	17.3.012	Research Data - Non-Grant Funded Projects	This series documents the routine research activities of research projects that are not funded by grants and are not subject to any state or federal guidelines. This series may include but not limited to: details of tests, client names, procedures performed, test results, evaluations, notebooks, binders, spreadsheets, or any other type of journal format, the care and proposed use of animals by the university for research purposes, institutional animal care and use forms, research proposal check-off forms, results of laboratory testing performed on agricultural products, case numbers, genetic trials, disease and pest management testing, and related data and correspondence.	AV						For research data related to grant-funded or sponsored research, see URRS 17.3.014.	



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865	17.3.013	Research Grant Records - Final Research Report	These records relate to final research reports given to a granting agency or sponsor for grant-funded or sponsored research projects.	AC	7			AC = Expiration or termination of the grant or agreement according to its terms.	O	CAUTION: Grants may have individual guidelines for retention. Records must be retained in accordance with guidelines of grant or contract.	NIH Guidelines, OMB Circular A: 110-.53.



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866	17.3.014	Research Grant Records - Working Files	These records relate to funded research grant proposals, and research activity associated with sponsored or grant-funded projects.	AC	7			AC = Close of grant.		CAUTION: Grants and sponsors may have individual guidelines for retention. Records must be retained in accordance with guidelines of grant or contract. Federal grant records should comply with uniform administrative requirements for grants and cooperative agreement to state and local governments. Universities should ensure that they are following all university policies as well as sponsor/grant requirements when deciding what kinds of records should be included in this series and when considering intellectual property agreements for these records.	45 CFR 46.115(b), NIH Guidelines, OMB Circular A: 110-.53



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867	17.3.015	Research, Clinical, and Teaching Drug Inventory Records	This series documents the daily inventory of drugs and controlled substances held by units for clinical, instructional, and research uses. These records include daily shift inventory logs listing descriptions, quantities, and initials of pharmacists conducting the inventories.		2						21 CFR 1304.04(a).
868	17.3.016	Scientific Misconduct Records	This series is used to provide a record of accusations of misconduct brought forward by or against university personnel and affiliates and relating to research projects. These records include: accusation statements; inquiry committee findings; and related correspondence.	AC	7			AC = Completion of proceeding involving the research misconduct allegation.			42 CFR 93.317(b).
869	17.3.017	Unfunded Research Grant Proposal Development Records	This series includes the administrative activities involved in the formulation and deliberations leading to submitting a grant proposal for research project funding. Examples of records include: correspondence and working papers.	AV							



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870	18.1.001	Daily Broadcast Logs	Series documents daily broadcast activities of the institutional radio station or television channel. Records include: log sheets showing time signed on and off; any delays in broadcasting; engineer's name; announcer's name; and technical difficulties.		3					CAUTION: It is an exception to the retention period indicated that logs involving communications incident to a disaster or which include communications incident to or involved in an investigation by the FCC and about which the licensee has been notified, shall be retained by the licensee until specifically authorized in writing by the Federal Communications Commission (FCC) to destroy them. In addition, logs incident to or involved in any claim or complaint of which the licensee has notice shall be retained by the licensee until such claim or complaint has been fully satisfied or until the same has been barred by statute limiting the time for filing of suits upon such claims.	47 CFR 73.1840(a), 47 CFR 73.1800, 47 CFR 73.1820.



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871	18.1.002	Radio and Television License Records	This series provides a record of licensing of university campus radio stations and television channels (including distance education) with the Federal Communications Commission. Records may include: FCC applications; licenses and contracts; related correspondence and other records.	AC	3			AC = Expiration or cancellation of license or permit.			



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872	18.1.003	Student Organization Administrative Records	This series documents the history, development, and policies of campus student organizations. This series may include but is not limited to: constitutions and bylaws; publications (websites, newsletters, fliers, brochures, posters, and other publications); annual review forms; annual reports; meeting minutes and supporting documentation; committee, subcommittee, and task-force records; Student Senate bill and resolution files; budgets; handbooks; officer and member rosters; scrapbooks; photographs; press releases; clippings; social media accounts; and related documentation and correspondence that documents programs, activities, and events.	AV					I	CAUTION: Faculty sponsors of student organizations should remind students that many of the electronic records they create for the organization are records that must be retained and then transferred to the University Archives, and that students must take care to retain these records in whatever manner the University decides is best.	



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873	18.2.001	Athletic Eligibility Records	Academic progress reports used to provide a record of verification by intercollegiate athletics of student athletes' academic progress to the National Collegiate Athletic Association (NCAA) or National Association of Intercollegiate Athletics (NAIA).	AC	10			AC = Student separation from the department or university.			



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874	18.2.002	Athletic Scholarship and Grant-In-Aid Award Records – National Collegiate Athletic Association (NCAA) Records	This series is used to provide athletic departments with information pertaining to player eligibility and receipt of financial aid in the form of scholarships including grant-in-aid scholarships, to monitor accounts, and to assist in complying with NCAA, and conference rules and regulations. These records include: squad lists which furnish summary information; conference eligibility reports; team roster update sheets; scholarship count sheets showing who is on the schedule to receive aid; applications; nominee lists; eligibility questionnaires; eligibility reports which determine years of eligibility unused; credit voucher request sheets notes; and related documentation and correspondence.		10						



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875	18.2.003	Athletic Scholarship and Grant-In-Aid Award Records - All records Except NCAA	This series is used to provide athletic departments with information pertaining to player eligibility and receipt of financial aid in the form of scholarships including grant-in-aid scholarships, to monitor accounts, and to assist in complying with NAIA and conference rules and regulations. These records include: squad lists which furnish summary information; conference eligibility reports; team roster update sheets; scholarship count sheets showing who is on the schedule to receive aid; applications; nominee lists; eligibility questionnaires; eligibility reports which determine years of eligibility unused; credit voucher request sheets notes; and related documentation and correspondence.		5						



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876	18.2.004	Catastrophic Injury Insurance Records	This series documents on-going insurance activity on cases that qualified for catastrophic status by having claims of over \$50,000 for NCAA schools and \$25,000 for NAIA schools in the first two years of the claim. This series may include but is not limited to: accident reports; annual insurance questionnaires; notes; claim forms; and related documentation and correspondence.	AC	5			AC = Closure of claim.			
877	18.2.005	Competition Record - NCAA Reporting Requirements	This series provides a summary record of individual games and competitions and is used to comply with NCAA and NAIA reporting requirements for both revenue and non-revenue producing sports. Information on the individual forms includes: sport name; opponent name; date; event location; final score; player names and positions; time played per athlete; and the signature of the head coach or athletic director.		10						



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878	18.2.006	Competition Scheduling Records	This series documents competition schedules set up with other institutions by coaches and the athletic director. This series may include but is not limited to: correspondence; phone notes; contracts; final schedules; and related documentation and correspondence.	AC	7			AC = Expiration of contract.			
879	18.2.007	Drug Test Records - Negative Results	This series is used to provide the athletic director with a record of the negative results of drug testing done on student athletes. These records include: lab reports; interpretations; and related documentation and correspondence		2						
880	18.2.008	Drug Test Records - Positive Results	This series is used to provide the athletic director with a record of the positive results of drug testing done on student athletes. These records include: lab reports; interpretations; and related documentation and correspondence.	AC	5			AC = End of eligibility.			



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881	18.2.009	Game Arrangement Records	This series is used to provide a reference record of arrangements made for and the schedules of past games. This series may include but is not limited to: team practice schedules; team position assignments/depth charts; itineraries; bus lists; notes; and related documentation and correspondence.	AC	5			AC = End of sport season.			
882	18.2.010	Game Day Totals	This series documents the total ticket and concession sales, including concession items other than food or drink and NCAA licensed merchandise, for each sporting event.	FE	3						



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883	18.2.011	Game Officials' Evaluation Forms	This series is used to provide a record of the head coach's evaluation of judging officials' performance at individual football games. The series is also used to comply with NCAA, NAIA and conference rules and regulations. Information on the individual forms includes: team names; site; game date; judging officials' names; evaluative scores; comments; and coach's signature.		1						



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884	18.2.012	Game Statistics	This series documents the practice, playing, and attendance statistics about each game and the season for each sport by playing year. This series may include but is not limited to: player academic statistics; attendance figures; player training charts; season and game player statistics; recruitment records; special teams statistics; rankings; awards information; NAIA and NCAA game statistics; media releases; all-conference nominations; spring and fall camp depth charts; numerical rosters; media guides; narrative reports on games and scrimmages; final team statistics for each game; NAIA and NCAA official scoring summaries; play-by-play written reports; and related documentation and correspondence		75				O		



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885	18.2.013	Game Tickets and Ticket Orders	This series documents the sale and purchase of season passes and game day tickets. This series may include but is not limited to: extra game tickets, ticket orders, season pass order forms, and ticket stubs.	FE	3						
886	18.2.014	Individual Athletes Records - Confidential	This series includes confidential records of the athletic history of each athlete who has competed at the institution. Frequently, this series is a continuation of the recruitment file and includes recruitment records if an athlete signs a letter of intent. This series may include but is not limited to: academic major information including performance reports, admissions verification reports, academic transcripts, and financial aid information, recruitment information documents, and related documentation and correspondence.	AC	5			AC = Date of separation from the institution		See URRS 18.2.015 for records relating to the public profile of the athlete.	



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887	18.2.015	Individual Athletes Records - Public Profile	This series documents the athletic history of each athlete who has competed at the institution. Frequently, this series is a continuation of the recruitment file and includes recruitment records if an athlete signs a letter of intent. Records may include and may not be limited to: academic major information including performance reports, admissions verification reports, recruitment information documents, media articles; photographs, release of information forms, personal data questionnaires, records of awards, and related documentation and correspondence.	PM					O	See URRS 18.2.014 confidential records of the athlete.	
888	18.2.016	Play Books	This series documents the strategies, practice time and game plays for each game in the season. This series may include but is not limited to: practice plans; game plans; and game results.		5						



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889	18.2.017	Practice Schedule Records	This series is used to monitor practice time for athletic teams and assist in complying with NCAA, NAIA and conference rules and regulations. This series contains team rosters indicating time spent in: practices; meetings; training and conditioning; and competition.		5						



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890	18.2.018	Recruiting Records - Athletics	This series documents the recruitment of athletes into the institution's intercollegiate athletics program. The series also provides a record of the recruitment process for prospective players created by the institution to comply with NCAA, NAIA and conference rules and regulations. This series may include but is not limited to: the institution's football questionnaire forms with personal, scholastic, football, general, and transcript release information; information request cover sheets; grade transcripts; Information for Certification of NCAA Freshman Athletics Eligibility Compliance (with By-Law 5-1-j forms, number 40-c); letters of intent; copies of admissions forms and materials; performance reports; telephone and conversation notes; mailing lists; and related documentation and correspondence.	AC	5			AC = End of eligibility			



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891	18.2.019	Sports Merchandising Records	This series documents the sale of institutional and NCAA or NAIA licensed merchandise at sporting events. This series may include but is not limited to: sales reports; merchandise comment sheets; and related correspondence.	FE	3						
892	18.2.020	Student Athlete Insurance Records - Collegiate Insurance	This series documents medical treatment services rendered off campus for practice or playing related injuries or illnesses which are eligible for partial payment by intercollegiate athletic insurance. This series may include but is not limited to: copies of policies; accident reports; annual insurance questionnaires; notes; claim forms; negotiations correspondence; payment of insurance records; and related documentation and correspondence.	AC	7			AC = Last date on which service was given or until the patient's 21st birthday, whichever later.			22 TAC 165.1(b).



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893	18.2.021	Student Athlete Insurance Records - Secondary Coverage Insurance	This series documents the verification and payment of secondary coverage insurance claims of injured student athletes. This series may include but is not limited to: lists of requests for claims payment; transmittal letters for reimbursement of the institution; proof of loss forms; intercollegiate athletic reports; ledgers of providers, payment amounts, and reference numbers; and related documentation and correspondence.	AC	7			AC = Claim settled.			



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894	18.2.022	Student Athletes Academic Advising Records	This series documents academic advising of prospective and current student athletes, provides records of academic progress while students are involved in athletic programs at the institution, and complies with NCAA, NAIA and conference reporting requirements. These records include: letters of intent; renewals of letters of intent; transcripts; grade reports; petitions; academic evaluations; advanced standing reports; advisors' report sheets showing progress towards academic degree; program planning sheets; NCAA Progress Reports; students' requests for release from athletic programs; disciplinary memoranda; and related correspondence.	AC	5			AC = Degree completed or date of last enrollment.			



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895	18.2.023	Student Athletes Dining Rosters	This series documents the meals consumed by student athletes as part of the training table. This series may include but is not limited to: rosters with the names of athletes partaking of meals and absent from meals; menus; and related documentation and correspondence.		2						
896	18.2.024	Student Athletes Medical Records	This series documents the medical history of each athlete before and during his/her attendance at the institution. This series may include but is not limited to: annual health appraisals; authorization to release information forms; treatment consent forms; assumption of risk forms; accident reports; X-rays and X-ray reports; prescription records; off campus treatment source records; insurance questionnaires; psychological counseling records; and related documentation and correspondence.	AC	7			AC = Last date on which service was given or until the patient's 21st birthday, whichever later.			22 TAC 165.1(b).



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897	18.2.025	Ticket Sales and Event Cash Reconciliation Records - Athletics	This series documents the printing, selling, distribution, and accounting of tickets for university-sponsored athletic events where tickets are sold for admission. A portion of athletic event receipts is shared with visiting teams. This series may include but is not limited to: ticket stock orders; ticket type reports; ticket purchase manifest forms; box office balance sheets; ticket printing and control records; season ticket sales lists; receipts and orders for mail, phone, or in person purchase of tickets; ticket sales summary sheets and reports; free ticket sign-up sheets; lists and reports of free tickets distributed to patrons, contributors, and others; deposit receipts; and related documentation and correspondence.	FE	5					CAUTION: Records should be kept in compliance with NCAA or NAIA requirements, as applicable.	



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898	18.3.001	Faculty and Staff Election Records	This series documents elections held by various faculty and staff organizations. This series may include but is not limited to: ballots; tabulations; and related documentation.	AC				AC = Results are verified.			