



STATE OF TEXAS
Records Retention Schedule Certification

SLR 105C

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

Section 1. Agency Information

(Submitting agencies complete this section only)

Agency Code 737

Agency Name Angelo State University

(Check one)

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

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

(Check one)

- Agency Head
- Records Management Officer

Signature 

Name *(Print or type)* Jim C. Brunjes

Date 17 November 2016

Section 2. Approvals

(Submitting agencies do not write in this section)

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

Signature _____

Name *(Print or type)* **Not Required at This Time**

Date _____

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

Signature 

Name *(Print or type)* Donna Osborne

Date 11/14/17

Cert/Recert No. 7 Amendment No. -

CAUTION

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

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



STATE OF TEXAS

Records Retention Schedule

1. Agency Code: 737		2. Agency Name: Angelo State University										
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations	13. N, C, S, O
					Years	Months	Days					
34	1.1.002	Audits	Audits and reviews performed by or on behalf of an agency, including the working papers that support the audit. Also includes audits performed on the agency.	AC	7			AC = Publication or release of final audit findings.		The State Auditor's Office retains any copies of its audits performed on Texas state agencies.		S
167	1.1.004	Legislative Appropriation 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.	I	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.		S
69	1.1.006	Complaint Records	Complaints received by an agency from the public concerning the agency 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.		S

Retention Codes (Field 7)				Archival Codes (Field 10)			Code (Field 13)
AC – After closed, terminated, completed, expired, settled	CE – Calendar year end	LA – Life of asset	US – Until Superseded	A/I – Transfer to State/University Archivist	R/O – Review by State/University Archivist	S – Same	N – New
AV – Administratively valuable	FE – Fiscal year end	PM – Permanent				C – Changed	O – Obsolete



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78	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				O	<p>ARCHIVES NOTE: Archival review is required only for the administrative correspondence of the Office of the President, vice presidents, the Provost's Office, Legal Counsel, Internal Audit, and other upper executive staff members. This record series also includes correspondence from task forces, university committees and faculty. 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.</p>	C
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<p>Retention Codes (Field 7)</p> <p>AC – After closed, terminated, completed, expired, settled AV – Administratively valuable</p>	<p>CE – Calendar year end FE – Fiscal year end</p>	<p>LA – Life of asset PM – Permanent</p>
<p>Archival Codes (Field 10)</p> <p>A/I – Transfer to State/University Archivist R/O – Review by State/University Archivist</p>	<p>Code (Field 13)</p> <p>S – Same N – New C – Changed O – Obsolete</p>	

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79	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.		C
94	1.1.010	Directives	Any document that officially initiates, rescinds, or amends general office procedures.	US	1						S
121	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			I			S

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484	1.1	Executive Subject Files	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			N
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162	1.1.013	Itinerary Information- Calendars and Appointment Books	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				O	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. CAUTION: A record of this type purchased with personal funds, but used by a state official or employee to document his or her work activities may be a state record and subject to this retention period. See Open Records Decision 635 issued in December 1995 by the Attorney General.		S
166	1.1.014	Legal Opinions and Advice	From agency legal counsel or the Attorney General, including any requests eliciting the opinions.	AV					O	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.		S
194	1.1.019	Communications and Marketing- 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				O			C

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486	1.1	Communications and Marketing - Subject Files	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	Refer to item number 1.1.019 for press releases. Refer to item number 1.1.020/1.1.021 for Public Information Requests.		N
199	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.					C

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200	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.				C
202	1.1.023	Organization Charts		US				I			S
227	1.1.024	Plans and Planning Records	Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC	3		AC = Decision made to implement or not to implement result of planning process.	O	ARCHIVES NOTE: Data processing planning records are not archival.		S
396	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.				S
254	1.1.027	Proposed Legislation	Drafts of proposed legislation and related correspondence.	AV							S
83	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	3		AC = Final disposition of summary report		SEE 1.1.067 for summary reports compiled from customer surveys. CAUTION: Refer to item number 340 for course instructor surveys.		S
304	1.1.040	Speeches, Papers and Presentations	Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC			AC = End of term in office or termination of service in a state position.	O			S

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383	1.1.041	Suggestion System Records	Suggestions submitted by agency personnel and responses.		1						S
404	1.1.043	Training Materials	Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US	1						S
176	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.	O	ARCHIVES NOTE: Cases that set legal precedent or exhibit historical value will be evaluated by the University Archivist for archival preservation.		S
274	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.				S

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307	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.	I	ARCHIVES NOTE: The archival requirement is met by sending the required copies of the plans to the Publications Depository Program, Texas State Library and Archives Commission.		S
16	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(c).	S
474	1.1	ADA (Americans with Disabilities Act) Accommodation Requests	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.				N

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406	1.1.057	Transitory Information	Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples 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.	AC				AC = Purpose of record has been fulfilled.	CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction signoffs (1.2.001) or in records disposition logs (1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (1.2.014).	S
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188	1.1.058	Meeting Agenda and Minutes	Official agenda and minutes of state boards, committees, commissions, councils, task forces, departments and administrative organizations that conduct open meetings as required by Government Code, Chapter 551.	PM						I	ARCHIVES NOTE: Agency retains permanent record copy. 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. SEE ALSO caution comment at item number 1.1.060.		S
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487	1.1	University Committee Records	<p>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.</p>		3				O	<p>CAUTION: Federal or state regulations may require longer retention periods (for example, Radiation Committee meetings SEE item number 536 and Biosafety Committee see item number 535).</p>		N
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488	1.1	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			N
192	1.1.059	Meetings, Certified Agendas or Tape Recordings of Closed	Certified agendas or tape recordings of closed meetings of state boards, commissions, committees, and councils.	AC	2			AC = The date of the meeting or completion of pending action involving the meeting, whichever is later.		SEE caution comment at item number 1.1.058.	Government Code, 551.104(a).	S

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193	1.1.060	Meetings, Audio or Videotapes- Open Meetings	Audio or videotapes 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 ALSO caution comment at item number 1.1.058.	S
189	1.1.061	Meeting- Notes	Notes taken during open meetings of state boards, commissions, committees, and councils from which written minutes were prepared.	AC			90	AC = Approval of the formal minutes by the governing body.	AC = Approval of the formal minutes by the governing body. SEE caution comment at item number 1.1.058.	C
191	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				SEE caution comment at item number 1.1.058.	S

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190	1.1.063	Meeting Minutes/Notes-Staff	Minutes or notes, and supporting documentation, taken at internal agency staff meetings.		1						S
18	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 retention period overrides any shorter retention period for a records series in this schedule if the records series is needed for documentation of agency performance measures.	S
277	1.1.065	Reports and Studies- 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 information or data included in or directly related to another records series in this schedule. SEE especially 1.1.064.	S
278	1.1.066	Reports- Annual and Biennial	Biennial narrative reports to the governor and legislature as required by an agency's enabling statutes, including annual narrative reports if they are required by statute.	AC	6			AC = September 1 of odd-numbered calendar years.	I	ARCHIVES NOTE: The archival requirement is met by sending the required copies of the plans to the Publications Depository Program, Texas State Library and Archives Commission.	S

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276	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				O			C
281	1.1.068	Reports on Performance Measures	Quarterly and annual reports on agency performance measures submitted to executive and legislative offices.	AC	6			AC = September 1 of odd-numbered calendar years.				S
279	1.1.069	Reports- Employee/Activity	Reports compiled by agency personnel on a daily or other periodic basis pertaining to workload monitoring, absences, task completion times, number of public contacts, and similar activities.		1					CAUTION: SEE item number 1.1.064.		S

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21	1.1.070	Agency Rules, Policies, and Procedures - Final	Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC	3		AC = Completion or termination of program, rules, policies, or procedures.	O	SEE ALSO Agency Rules, Policies and Procedures - Working Files, 1.1.071.		S
22	1.1.071	Agency Rules, Policies, and Procedures - Working Files	Working files used in the development of manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC	3		AC = Completion or termination of program, rules, policies, or procedures.	O	SEE ALSO Agency Rules, Policies, and Procedures - Final, 1.1.070.		S
267	1.2.001	Records Destruction Authorizations	Agency level documents authorizing final disposition of records under a certified records retention schedule.	FE	3						S
134	1.2.003	Forms History File	Print masters of original version and all subsequent revisions to an agency form, including any associated design or design modification requests.	AC	1		AC = Discontinuance of use of form.				S

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271	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.	S
268	1.2.010	Records Disposition Logs	Logs or similar records listing records destroyed or transferred to the University Archives, showing records series title, dates of records, and date destroyed or transferred.		10						S
269	1.2.012	Records Inventory Worksheets		US							S
266	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.	S
270	1.2.014	Records Management Plans	Records management plans and similar records that establish the policies and procedures under which records and information are managed in an agency.	US	1						S

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Records Retention Schedule

19	1.3.001	Agency Publications	One copy of each state publication as defined on page xi of the introduction of TSLAC schedule, except a publication that is subject to a different retention period in TSLAC 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 superseded or obsolete.	O	University retains record copy and sends required copies to the Texas State Publications Depository Program, Texas State Library and Archives Commission.		C
20	1.3.001	Agency Publications-Serials/Newsletters		US	5			US = For serial publications issued in successive parts, from the date of release of the next part in the series.	O	Send the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission. Agency policy to retain longer than TSLAC minimum.		S
256	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					O			S

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36	2.1.001	Automated Files- Processing Files	Machine-readable files used in the creation, utilization, and updating of master files.	AC				AC = Completion of 3rd verification cycle, or audit completion confirming successful transaction updates, or required audit trail maintenance, or the ability to restore or migrate when errors are detected or when hardware or software changes occur.	CAUTION: Records management officers must be certain before assigning the retention period of AC to agency automated processing files that the files do not fall under records series listed elsewhere.		C
35	2.1.002	Automated Files- Master Files	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 = Completion of 3rd verification cycle, or audit completion confirming successful transaction updates, or required audit trail maintenance, or the ability to restore or migrate when errors are detected or when hardware or software changes occur.	CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.		S

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Records Retention Schedule

301	2.1.007	Software Programs	Automated software applications and operating system files including job control language, program listing/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.	S
147	2.1.008	Hardware Documentation	Records documenting operational and maintenance requirements of computer hardware such as operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems.	AC				AC = Until electronic records are transferred to and made usable in a new hardware environment or there are no electronic records being retained to meet an approved retention period that require the hardware to be retrieved and read.	CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.	13 TAC 6.94.	S

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393	2.1.009	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 hardware or software environment with new documentation 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.	S
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33	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 online updates to application files or security logs.	AC				AC = All audit requirements have been met.			S
131	2.1.011	Finding Aids, Indexes, and Tracking Systems	Automated indexes, lists, registers, and other finding aids used to provide access to records.	AC				AC = The related records have been destroyed.	CAUTION: These records must carry the same retention period and archival code of the records they support.		S
15	2.2.001	System Monitoring Records	Electronic files or automated logs created to monitor computer systems such as print spool logs, console logs, tape activity logs, etc.	AV							C
72	2.2.002	Computer Utilization/Chargeback Records	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						S
71	2.2.004	Computer Job Schedules and Reports	Schedules or similar records showing computer jobs to be run and other reports by computer operators or programmers of work performed.			3					S

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39	2.2.011	Batch Data Entry Control Records	Forms and logs used to reconcile batches submitted for processing against batches received and processed.	AC				AC = When reconciliation confirmed.			S
205	2.2.012	Output Records for Computer Production	Reports showing transactions that were accepted, rejected, suspended, and/or processed.	AV							C
259	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.			S
302	2.2.016	Software Registrations, Warranties and License Agreements		LA	3						S
46	3.1	Biographical Records-Resumes		AC	1			AC = Termination of employment.	O		S

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29	3.1.001	Applications for Employment - Not Hired	Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.		2					29 CFR 1602.49(a)	C
28	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.				S
80	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.		CAUTION: Period is AC+10 if counseling provided by, and records kept by a licensed psychologist as required by 22 TAC 465.22(d)(2).		C
106	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.		S

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108	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 1602.49(a)	C
109	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.			Government Code, 441.1855	C
109a	3.1.013	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.			Government Code, 441.1855	C
110	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, pre-employment drug screening test results, polygraph examination results; and all other records that document the selection process.		2				CAUTION: Does not include criminal history checks. SEE item 3.1.026.	29 CFR 1602.49(a)	S
146	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 1.1.048.		S

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215	3.1.019	Performance Appraisals-Staff and Non- Tenure Track			2					29 CFR 1620.32(c)	S
216	3.1.019	Performance Appraisals-Teaching Assistant [non-faculty]		AC	3		AC = Completion of teaching course or lab.			29 CFR 1620.32(c)	S
217	3.1.019	Performance Appraisals-Tenure Track			6					29 CFR 1620.32(c)	S
220	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.		S
221	3.1.021	Personnel Disciplinary Action Documentation	Disciplinary actions are those actions which may affect pay, status, or tenure.	AC	5		AC = Termination of employment.				S
495	3.1	Outside/Secondary Employment Authorizations	Requests and authorizations to perform work outside of the institution.	AC	2		AC = Date of separation or until superseded.				N

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494	3.1	Manager Employee Personnel File	Manager's supporting notes, documentation, correspondence, memoranda, kudos, or reports related to the evaluation of an employee's job performance that are used for the performance appraisal.	AC	2		AC = Date evaluation is completed or termination of employment, whichever sooner.		CAUTION: Refer to item number 3.1.019 for Performance Appraisals.		N
222	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.		2					29 CFR 1602.49(a)	S
251	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).	S
185	3.1.024	Medical- Drug Testing Records		AC	2		AC = Until superseded or termination of employment.		CAUTION: Does not include pre-employment physical examinations. SEE number 3.1.014.		S
187	3.1.024	Medical- 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 preemployment physical examinations. SEE number 3.1.014.		S

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295	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 = After the expiration of the probationary term of the individual's employment.	CAUTION: Some agencies that are authorized to obtain criminal history record information from DPS are required to destroy the information after it is used for the immediate purpose for which it was obtained. SEE Section 411.094(e), Government Code.		C
402	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.			S
97	3.1.029	Employment Eligibility, Documentation or Verification of	Federal reporting form (INS I-9).	AC	1			AC = Termination of employment.	CAUTION: Federal regulation requires that INS 1-9 forms be retained for 3 years from date of hire or 1 year after separation of the employee, whichever later. Agencies should make certain that the INS I-9 forms for employees who terminate from an agency less than 3 years from date of hire are kept for the 3 year retention period.	8 CFR 274a.2(b)(2)(i)(A) and (c)(2).	C

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Records Retention Schedule

489	3.1	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. Records may include but are 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(g)	N
490	3.1	International Scholars Records – Immigrant Petition File	Includes documentation of an institution's sponsorship of an applicant using 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.				N

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491	3.1	International Scholars Records – Labor Certification (PERM)	This series documents the application and approval of international scholars for permanent immigrant status. Records may include but are not limited to: Application for Permanent Employment Certifications (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 Permanent Employment Certification (Form ETA 9089)		20 CFR 656.10(f) 29 CFR 1602.49(a) for Employment Opportunity Announcements 29 CFR 1602.49(a) for Employment Selection Records 29 CFR 1602.49 for Applications for Employment - Not Hired	N
492	3.1	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.			N

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493	3.1	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.				N
496	3.1	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.				N

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497	3.1	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(g)	N
102	3.1.031	Employee Benefits - Other than Insurance	Agency copies of information relating to the selection of available benefit options other than insurance.	AC	2			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.		S
47	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 openings occur.	AV					SEE item 3.1.014 for resumes, whether solicited or unsolicited, that are used in any way in the employment selection process.		C

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386	3.1.035	Performance Bonds	Bonds posted by employees and individuals or entities under contract with an agency for the performance of the duties of a position or the terms of a contract with the agency. Executed, renewed, or amended on or after September 1, 2015.	AC	7		AC = Expiration or termination of the bond according to its terms.		CAUTION: Does not include construction or architectural surety bonds. SEE item number 5.2.028. SEE related item 5.1.001 Contracts and Leases.	Government Code, 441.1855	S
386a	3.1.035		Bonds posted by employees and individuals or entities under contract with an agency for the performance of the duties of a position or the terms of a contract with the agency. Executed, renewed, or amended on or before August 31, 2015.	AC	4		AC = Expiration or termination of the bond according to its terms.		CAUTION: Does not include construction or architectural surety bonds. SEE item number 5.2.028. SEE related item 5.1.001 Contracts and Leases.	Government Code, 441.1855	N
107	3.1.037	Employee Recognition Records	Awards, incentives, tenure, etc.	AC	5		AC = Termination of employment.				S
479	3.1	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.				N

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255	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 number 3.3.011.		S
431	3.1.039	Ombudsman Records	Consultation records, notes, letters, memos, emails, reports and other documentation.	AC				AC = Final decision or matter closed.	CAUTION: Does not include formal complaint filed with EEO. If matter becomes a grievance or is subject to disciplinary action, the records are subject to retention in the appropriate record series. SEE 1.1.048, 3.1.006, 3.1.020, and 3.1.021.		N
104	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.			S
105	3.2.002	Employee Earnings Records			4					40 TAC 815.106(i).	C

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129	3.2.003	Federal Tax Records	Includes 1099, W2, FICA, and other tax records.	AC	4		AC = Tax due date, date the claim is filed, or date tax is paid whichever is later.		26 CFR 31.6001 - 1(e)(2).	S
152	3.2.004	Income Adjustment Authorizations	Used to make increases or decreases to employees' gross pay, FICA, retirement, or in the computation of taxes.		2				29 CFR 516.6(c).	S
417	3.2.005	W-4 Forms	Employer's copy of "Employee's Withholding Exemption Certificate."	AC	4		AC = Until superseded, obsolete, or upon separation of employee.		26 CFR 31.6001-1 (e)(2).	S
418	3.2.006	Wage Rate Tables			2				29 CFR 516.6(a)(2).	S
409	3.2.007	Unemployment Compensation Records		AC	5		AC = After settled			S
93	3.2.008	Direct Deposit Application/Authorizations		US						S
305	3.2.009	State Deferred Compensation Records		AC	5		AC = All accounts with a vendor or vendors for the individual participant have been closed.	For instructions regarding the determination of the closure of accounts and for additional information regarding the retention period see the most current edition of the Benefits Coordinator Reference Manual issued by the Employees Retirement System of Texas.		S
151	3.2.010	Human Resources Information System (HRIS) Reports	Includes supporting documentation.	AC	4		AC = Issuance of report.			S

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211	3.2	Payroll- Cover Sheets/Notifications for Hourly Payroll		FE	3							S
17	3.3.001	Affirmative Action Plans	Affirmative action plans.		5						29 CFR 30.8(e) for apprenticeship plans.	S
40	3.3.004	Benefit Plans	Employee benefit plans such as pension; life, health, and disability insurance; deferred compensation; etc., including amendments.	US	1						29 CFR 1627.3(b)(2).	S
164	3.3.010	Labor Statistics Reports	Reports providing statistical information on labor force.		3							S
133	3.3.011	Former Employee Verification Records - Human Resources Office Only	Minimum information needed to verify employment, includes name, social security number, exact dates of employment, last known address and most recent public access option form.	AC	75			AC = Termination of employment.		SEE item 3.1.038		C
252	3.3.015	Positions/Job Classification Review File	Records relating to review and monitoring of job classifications within an agency.	US	3							S
420	3.3.020	Work Schedules/Assignments	Work, duty, shift, crew, or case schedules, rosters, or assignments.		1							S
397	3.3.022	Texas Workforce Commission (TWC) Reports	Reports to the agency from TWC or its predecessor pertaining to employees.		3							S

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Records Retention Schedule

407	3.3.023	Reimbursable Activities, Requests and Authorization to Engage In	Requests and Authorizations to Engage in 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							C
249	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							C
163	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							S
23	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 its organizational structure, position vacancies, analyses of turnover rates and seasonality of employment, etc.	US	3							S

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Records Retention Schedule

401	3.3.030	Training Administration Records	Instructional materials and other records associated with in-house training of agency personnel on personnel policies and procedures and other policies and procedures that govern an agency's programs, services, or projects.	US	2					CAUTION: Does not include hazardous material training records. SEE item 5.4.007		S
98	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, and 1602.50.	S
112	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	C
223	3.3	Personnel Office- New Position/ Reclassification Letters		PM								S
224	3.3	Personnel Office- Veterans' Preference Documents		PM								S

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Records Retention Schedule

S	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 31, to correct errors on leave accumulation, and to close out leave accounts on separated employees.	FE	3						S
165	3.4.002	Leave Status Reports	Cumulative report is issued each pay cycle and provides employee leave status information for each position.	FE	3						S
168	3.4.003	Less Than Full-Time Worked Reports	Dates and hours.		4					40 TAC 815.106(i).	S
206	3.4.004	Overtime Authorizations			2						S
207	3.4.005	Overtime Schedules			2						S
399	3.4.006	Time Cards and Time Sheets			4					40 TAC 815.106(i).	S
400	3.4.007	Time Off and/or Sick Leave Requests		FE	3						S
297	3.4.008	Sick Leave Pool Documentation	Requests submitted, approvals, number of hours transferred in and out, etc.	FE	3						S
9	4.1.001	Accounts Payable Information		FE	3						S

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Records Retention Schedule

42	4.1.002	Billing Detail		FE	3					CAUTION: Does not include long distance telephone billing detail. SEE items 5.5.001 and 5.5.007.		S
57	4.1.003	Canceled Checks/Stubs/Warrants/Drafts		FE	3							S
432	4.1.004	Encumbrance Detail		FE	3							N
158	4.1.005	Inventory and Other Cost Files	Production, job, labor, quotes, pricing, specifications, etc.	FE	3							S
161	4.1.006	Investment Transaction Files		FE	3							S
405	4.1.007	Transfers or Budget Revisions	Transfers or adjustment to budgets.	FE	3							S
99	4.1.008	Electronic Fund Transfers	Direct Deposit Registers.	FE	3							S
60	4.2.001	Cash Deposit Vouchers	Cash deposit slips.	FE	3							S
61	4.2.002	Cash Receipts	Includes receipts for fees (permits, licenses, renewals, etc.).	FE	3							S
84	4.2.003	Daily Cash Receipts Logs		FE	3							S
111	4.2.004	Encumbrance Vouchers	Orders, statements, change orders, etc.	FE	3							S
257	4.2.005	Purchase Vouchers	Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE	3							S

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Records Retention Schedule

139	4.2.006	General Journal Vouchers		FE	3							S
122	4.2.007	Expenditure Vouchers	Travel, payroll, etc.	FE	3							C
433	4.3.001	Sales Journals or Registers		FE	3							N
264	4.3.002	Receipts Journals or Registers		FE	3							S
123	4.3.003	Expenditures Journals or Registers		FE	3							S
56	4.3	Business Transactions- Journals and Registers		FE	3							S
177	4.3	Loan Journals or Registers		AC	5			AC = Loan approved.		Federally funded student financial aid must adhere to AC+5.		S
138	4.4.001	General and Subsidiary Ledgers		FE	3							S
11	4.4.002	Accounts Receivable Ledgers		FE	3							S
10	4.4.003	Accounts Payable Ledgers		FE	3							S
421	4.5.001	Worksheets for Preparing Fiscal Reports		FE	3							S
157	4.5.002	Internal Fiscal Management Reports	Includes agency monthly budget reports.	FE	3							S

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Records Retention Schedule

26	4.5.003	Annual Financial Reports	Required by the General Appropriations Act (100 Day Report).	AC	6			AC = September 1 of odd-numbered calendar years.	O	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.	S
280	4.5.005	External Fiscal Reports	Special purpose - i.e. federal financial reports, salary reports, etc.	FE	3						C
27	4.5.006	Annual Operating Budgets	Required by the General Appropriations Act.	FE	3				O		S
37	4.6.001	Balancing Records		FE	3						S
265	4.6.002	Reconciliations		FE	3						S
59	4.6.003	Cash Counts		FE	3						S
8	4.7.001	Accounting Policies and Procedures Manual		US	3						S
38	4.7.002	Bank Statements		FE	3						S
289	4.7.003	Returned Checks/Warrants/Drafts (Uncollectable)		AC	3			AC=After deemed uncollectable.			S

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Records Retention Schedule

58	4.7.004	Capital Asset Records		LA	3						S
65	4.7.005	Claim Files		AC	3		AC = Resolution of claim.				S
70	4.7.006	Comptroller Statements		FE	3						S
92	4.7.007	Detail Chart of Accounts	One for all accounts in use for a fiscal year.	FE	3						S
142	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.		C
49	4.7.010	Long-Term Liability Records	Cancelled and paid interest coupons, bonds and coupons of destruction and current bonds and bondholder records.	AC	3		AC = Retirement of debt.				C
298	4.7.012	Signature Authorizations	Signature cards or similar records establishing authority of an agency employee to initiate or authorize financial transactions on behalf of an agency.	AC	3		AC = Until Superseded at the end of the Fiscal Year				S
408	4.7	Truth-in-Lending Statements			15				Buckley Amendment, Confidential record.		S

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141	4.7	Grants- Applications and Proposals		FE	3				O			S
143	4.7	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 is issued under the authority of 31 U.S.C. 503 (the Chief Financial Officers Act), 31 U.S.C. 1111, 41 U.S.C. 405 (the Office of Federal Procurement Policy Act), Reorganization Plan No. 2 of 1970, and E.O. 11541 ("Prescribing the Duties of the Office of Management and Budget and the Domestic Policy Council in the Executive Office of the President").	C

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144	4.7	Denied 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				C
273	4.7	Refunds and Repayment Records		FE	5						Pell Grant Federal Regulations and other campus based programs 34 CFR 676.19(c), 34 CFR 668.24.	C

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Records Retention Schedule

75	5.1.001	Contracts and Leases	<p>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 after September 1, 2015.</p>	AC	7		AC = Expiration or termination of the instrument according to its terms.	SEE related item numbers 3.1.035 Performance Bonds and 5.3.007 Bid Documentation. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs.			C
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STATE OF TEXAS

Records Retention Schedule

75a	5.1.001	Contracts and Leases	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 item numbers 3.1.035 Performance Bonds and 5.3.007 Bid Documentation. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs.		N
90	5.1.003	Delivery Reports			2						C
180	5.1.004	Mailing and Telecommunications Lists	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							S
253	5.1.005	Postage Records	Records and reports of postage expenses, including postal meter usage.	FE	3						S
283	5.1.007	Requisitions for In-Agency or Inter-Agency Copy/Printing Service	Includes word processing and data processing.	AV							S

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226	5.1.011	Photocopier and Telefax Usage Logs and Reports		AV								S
64	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							S
156	5.1.013	Insurance Policies	For vehicles, equipment, etc. Executed, renewed, or amended on or after September 1, 2015.	AC	7			AC = Expiration or termination of the policy according to its terms.			Government Code, 441.1855	C
156a	5.1.013	Insurance Policies	For vehicles, equipment, etc. Executed, renewed, or amended on or before August 31, 2015.	AC	4			AC = Expiration or termination of the policy according to its terms.			Government Code, 441.1855	N
198	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							S
179	5.1.015	Mailing and 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							S

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74	5.1.017	Contract Log	List of agency contracts, leases, and agreements including general obligation, land lease, utilities, and construction contracts.	FE	3							S
30	5.2.001	Appraisals - Building or Property		AV					O			S
53	5.2.002	Building Construction Project Files	Planning, design, and construction records; accepted and rejected bids; correspondence; etc.	AC	10			AC = Completion of project.	O	Includes surety bonds. SEE ALSO item numbers 5.2.003 and 5.2.028.		S
54	5.2.003	Building Plans and Specifications - Owned	Includes architectural and engineering drawings, profiles, and blueprints.	LA					I	SEE ALSO item numbers 5.2.002 and 5.2.028.		S
434	5.2.003	Building Plans and Specifications - Leased		AC	2			AC= For leased buildings, termination or cancellation of lease.				C
55	5.2.004	Building Space Requests			1							S
63	5.2.006	Property Destruction, Certificate of		FE	3							C
85	5.2.007	Damage Reports	Reports of damage to state property.	FE	3							S
114	5.2.008	Equipment History File	Includes requests for installation, moves, service, etc.; and service/repair logbooks etc.	LA	3					For service agreements or contracts related to equipment repairs and service, retain in accordance with item number 5.1.001.		C

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115	5.2.009	Equipment Inventory Detail Report Forms	Updates agency portion of the inventory listing and adds, changes, transfers, or deletes items from inventory.	FE	3						S
116	5.2.010	Equipment Manuals		LA							S
118	5.2.011	Equipment Warranties		AC	1		AC = Expiration of warranty.				S
119	5.2.012	Estimate Files (Supply and Repair Cost Estimates)			1						S
159	5.2.014	Inventory- Annual Physical	Property, equipment, supply verification.	FE	3						S
195	5.2.015	Inventory, Notices of Equipment Removed From		FE	3						C
160	5.2.016	Inventory System Update Listings	Listing shows all additions, changes, deletions, and transfer times for the monthly processing period.	AC			AC = Transfer of information into annual listing.				S
260	5.2.018	Quality Control Reports			2						S
435	5.2.017	Lost & Stolen Property Reports		FE	3						N
296	5.2.019	Service Orders	Agency copy of forms completed by mechanical service personnel for installation or repair. Includes billing code, service, labor, parts, and remarks.		1						S
385	5.2.020	Supply Usage Records		FE	1						S
387	5.2.021	Surplus Property Sale Reports		FE	3						S

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410	5.2.022	Utility Usage Reports/Logs		AV								S
422	5.2.023	Year-to-Date Activity (Inventory Listing)	Shows additions, changes, transfers, and deletions of information within the inventory system. Data include agency, division, tag number, batch, document, transaction date, location, item code, description, date, and cost.	FE	3							S
183	5.2.024	Material Specifications		AC	2			AC = Material is no longer in the agency.				S
113	5.2.025	Equipment Descriptions and Specifications		AC	2			AC=Equipment is no longer in the agency.				S
124	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							S
303	5.2.027	Space Utilization Reports		AV								S
52	5.2.028	Building Construction Contract and Inspection Records	Building construction contracts, surety bonds, and inspection records.	LA	10				O	SEE ALSO item numbers 5.2.002 and 5.2.003.		S

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Records Retention Schedule

504	5.2	Asbestos Records - Administrative	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.	AC	30		AC = Separation of employee or date of project completion, whichever later.		29 CFR 1910.1001; 29 CFR 1910.1020(d) for Inspection Records 25 TAC 295.62(a). for Asbestos Management Records	N
48	5.2	Boiler Records			5					C
51	5.2	Building Capital Improvement Program		AV	3					S
501	5.2	Line Locate Records - Requested	Line locate requests, "Call Before You Dig" records, or other similar records documenting a university's request for information regarding location of underground cable or utility lines from a notification center (e.g., Texas811) prior to excavation.	AC	2		AC = Completion of project requiring the locate request.	CAUTION: If damage to lines or cables becomes subject to litigation, the locate records must be retained in accordance with item number 1.1.048 (Litigation Files).		N

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Records Retention Schedule

502	5.2	Line Locate Records - Provided	This series documents a university utility's marking of underground lines in response to a notification of planned excavation activity, in compliance with Utilities Code Chapter 251 and 16 TAC 18.8. May include notifications from Notification Center regarding details of planned excavation work, proof of marking underground lines, notification to Excavator of intent not to locate, or related documentation or correspondence.		2					CAUTION: If damage to lines or cables becomes subject to litigation, the locate records must be retained in accordance with item number 1.1.048 (Litigation Files).		N
89	5.2	Real Property Records	Includes purchase contracts, gift agreements, deeds, wills, codicils, estate inventories, probate records, minute orders (authorizing purchase, gift, or sale of a portion of the asset), restrictions, judgments, title policy or opinions of title, closing documents, surveys, maps, plats, property descriptions, surety bonds, and related correspondence.	LA	10				O			C
117	5.2	Equipment Use Logs		AV								S
225	5.2	Pest Control Records			2						TDA76.114(c),4TAC7.33(a)&4TAC7.144(a)	C

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250	5.2	Pool Chemical Reading Logs		FE	3							S
272	5.2	Refrigerant Records			3							S
291	5.2	Sanitation Landfill Tickets		FE	3							S
299	5.2	Site Development- Project and Planning Files and Related Materials		PM								S
419	5.2	Water Tests/Treatment			5							S
135	5.3.002	Freight Bills Paid		FE	3							S
136	5.3.003	Freight Claims		AC	2			AC=Resolution of claim.				S
201	5.3.004	Order - Acknowledgments		AV								S
208	5.3.005	Packing Slips		AV								S

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41	5.3.007	Bid Documentation	Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, successful and unsuccessful bids, and bid tabulation/evaluations. (a) Associated with a contract executed, renewed, or amended on or after September 1, 2015. (b) Associated with a contract executed, renewed or amended on or before August 31, 2015. (c) Unsuccessful 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	7			AC = Expiration or termination of instrument according to its terms or decision not to proceed with the bid.				C
41a	5.3.007	Bid Documentation	Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, successful and unsuccessful bids, and bid tabulation/evaluations. Associated with a contract executed, renewed or amended on or before August 31, 2015.	FE	3							N

Retention Codes (Field 7)				Archival Codes (Field 10)		Code (Field 13)	
AC – After closed, terminated, completed, expired, settled	CE – Calendar year end	LA – Life of asset	US – Until Superseded	A/I – Transfer to State/University Archivist	S – Same	N – New	
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Records Retention Schedule

41b	5.3.007	Bid Documentation	Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, successful and unsuccessful bids, and bid tabulation/evaluations. Unsuccessful 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.				N
503	5.3	Procurement Card Records	A record of purchases made with a university procurement card. This records series may include but is not limited to: sign-out log; transaction log/statement, original charge slip, sales receipt, packing slip, invoice, or any other information related to the purchase.	FE	3							N
258	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							S

Retention Codes (Field 7)				Archival Codes (Field 10)			Code (Field 13)
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Records Retention Schedule

282	5.3.009	Requests for Information	Requests for information preliminary to the procurement of goods or services by direct purchase or bid.	AC				AC = Decision not to proceed with the procurement.	CAUTION: If the request for information leads to request for proposal or bid, the request for information documentation should be retained in accordance with item number 5.3.007.		C
7	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				The Texas Department of Insurance retains copies of the reports submitted to it for 50 years.	29 CFR 1904.33.	S
120	5.4.002	Evacuation Plans	Plans for evacuation of agency facilities in cases of emergency.	US							S
153	5.4.003	Inspection Records	Fire, safety, and other inspection records of agency facilities and equipment.	AC	3			AC = Inspection, or date of the correction of the deficiency if the inspection report reveals a deficiency.	CAUTION: Does not include inspection reports of building construction. SEE 5.2.028.		S
132	5.4.004	Fire Orders	Orders issued by Fire Marshal to correct deficiencies in compliance with the fire code.	AC	3			AC = Deficiency corrected.			S
149	5.4.007	Hazardous Materials Training Records	Records of training given employees in an agency hazard communications program.		5					Texas Health and Safety Code, 502.009(g).	S

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436	5.4.008	Hazard Communication Plans		US	5					Texas Health and Safety Code, 502.009(g).	N
437	5.4.009	Workplace Chemical Lists			30					Texas Health and Safety Code, 502.005(d).	N
182	5.4.010	Material Safety Data Sheets		AC				AC=After sheets are updated or hazardous chemical no longer stored by agency, as applicable.			S
416	5.4.011	Visitor Control Registers	Logs, registers, or similar records documenting visitors to limited access or restricted areas of agency facilities.		3						S
294	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.			S
536	5.4	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		N
95	5.4.013	Disaster Preparedness and Recovery Plans		US							S

Retention Codes (Field 7)				Archival Codes (Field 10)		Code (Field 13)
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505	5.4	Disaster 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.		5				O	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. Universities must ensure that records are retained for the appropriate retention period.		N
100	5.4	Emission Records			5						UT5050-01, (30 TAC 101.8(d).	S
148	5.4	Hazardous Materials Disposal Records		PM						Opinion of the Angelo State University Environmental Health, Safety and Risk Management Office.		S

Retention Codes (Field 7)				Archival Codes (Field 10)		Code (Field 13)
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43	5.5.001	Billing Detail - Telecommunications (Other Than TEX-AN)	In addition to summary detail, includes any accompanying detailed listing of long distance calls.	FE	3					Same retention period for TEX-AN—see 5.5.006 Comments: The billing agency will maintain all long distance TEX-AN records and will provide each using agency its bill summary of centralized capitol compiles telephone service without call detail records. For these bill summaries, SEE item number 4.7.011. SEE item number 5.5.001 for billing detail from carriers other than TEX-AN.	S
178	5.5.002	Long Distance Telephone Logs	Long distance logs created by agencies for internal documentation purposes. Includes any similar logs created for long distance facsimile or electronic transmissions.	AV							S
306	5.5.003	Station Activity Reports	Internal listing of incoming/outgoing telephone activity to individual telephone stations.	AV							S
389	5.5.004	System Activity Reports	Internal listing of all incoming/outgoing agency telephone activity.	AV							S

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44	5.5.007	Call Documentation	Documentation relating to disputed long distance calls, including documents evidencing repayment by employees for personal long distance use.	FE	3						C
154	5.6.003	Inspection Repair and Maintenance Records - Vehicles		LA	1						S
175	5.6.004	License and Driving Record Checks		AC			AC = Until superseded or until termination of employment.				S
412	5.6.005	Vehicle Use Reports/Logs	Includes mileage, fuel/oil consumption, passengers carried and other related operational information.	FE	3						S
411	5.6.007	Vehicle Titles & Registrations		LA							S
209	5.6	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.				C
413	5.6	Vehicles- Inventory		FE	3						S
414	5.6	Vehicles- Minimum Use Waivers		LA	1						S

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415	5.6	Vehicles Request for Transportation		FE	3							S
96	6.1	Dispatch Reports	Record created by dispatcher on each call for service showing date and time call received, nature of call, and details of action taken in response to call.		2				O	Local Retention Schedule for Records of Public Safety Agencies item number 4100-05.		S
462	6.1	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								N
463	6.1	Wanted Persons Files	Records received on persons wanted by other law enforcement agencies.	AV								N
465	6.1	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								N
464	6.1	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.				N
469	6.1	Weapons Records - Inspection and Repair	Records of inspection and repair of weapons.	LA								N

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470	6.1	Weapons Records - Inventory		US	3							N
471	6.1	Weapons Records - Issuance	Logs for issuing weapons, such as guns and tasers, to officers.	AC	3			AC = Return of weapon.				N
466	6.1	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.		N

Retention Codes (Field 7)				Archival Codes (Field 10)			Code (Field 13)
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Records Retention Schedule

228	6.1	Police- Accident Records	Records relating to traffic accidents, including accident reports, supplemental accident reports, photographs, correspondence, and related documentation.		2				Local Schedule for Records of Public Safety Agencies item number (PS) 4150-01, PS4125-05b. CAUTION: If as the result of an accident, a person is arrested and charged with driving while intoxicated or with at least a second degree felony, the accident report shall be considered an offense investigation record and must be retained for the appropriate retention period SEE items 240-244.		S
229	6.1	Police- Arrest Records (Adults)	Arrest report and fingerprints on each person arrested by the law enforcement agency and charged with a felony or a misdemeanor not punishable by fine only.		75				Arrest reports must be retained for 75 years or until the date of death of the individual, if known, for felonies and misdemeanors not punishable by fine only. Local Schedule for Records of Public Safety Agencies item number 4125-02.		S

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Records Retention Schedule

230	6.1	Police- Juvenile Delinquency Records [Informal Disposition Cases]	Offense reports, disposition reports, fingerprints, photographs, and other records relating to the investigation of an offense or alleged offense committed by a juvenile and the taking of the juvenile into custody in those instances in which the juvenile is made subject to informal discipline, rather than being referred to a juvenile court or placed in a first offender program.	AC				AC = Must be destroyed upon completion of informal disposition.		Local Schedule for Records of Public Safety Agencies item number 4225-06	By law - Family Code, Section 58.001(c).	C
395	6.1	Police- Juvenile Delinquency Records [Nonreferred cases]	Offense reports, disposition reports, fingerprints, photographs, and other records relating to the investigation of an offense or alleged offense committed by a juvenile and the taking of the juvenile into custody in those instances in which the juvenile is not referred to a juvenile court, placed in a first offender program, or is made subject to informal disposition within 10 days of being taken into custody.	AC				AC = Immediate destruction		Local Schedule for Records of Public Safety Agencies item number 4225-10.	Family Code, Section 58.001(c).	S
231	6.1	Police- Communication Logs/Tapes					30			Local Schedule for Records of Public Safety Agencies item number 4100-04.		S

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Records Retention Schedule

232	6.1	Police- Internal Affairs Investigation Records(Complaint Card)	Records of investigations that result in sustained informal discipline or of investigations whose findings are inconclusive.		5				Local Retention Schedule for Records of Public Safety Agencies item number 4075-01(c). CAUTION: A 1-year infraction free period must precede the date of destruction.		C
233	6.1	Police- Internal Affairs Investigation Records (Complaint Cards)	Records of investigations whose findings are not sustained, or in cases where accusations are determined to be unfounded or the accused is exonerated.		3				Local Retention Schedule for Records of Public Safety Agencies item number 4075-01(d).		C
234	6.1	Police- Internal Affairs Investigation Records (Complaint Cards)	Written complaints and records of oral complaints received from the public concerning the conduct of law enforcement officers, fire department personnel, and emergency medical personnel that do not lead to an internal affairs investigation.	AC	2		AC=Determination not to initiate an internal affairs investigation.		Local Retention Schedule for Records of Public Safety Agencies item number 4075-01(e).		C
235	6.1	Police- Internal Affairs Investigation Records (Complaint Cards)	Records of investigation of law enforcement shooting incidents which result in death or injury to a person, including a police officer.	PM					Local Retention Schedule for Records of Public Safety Agencies item number 4075-01(a).		C
236	6.1	Police- Internal Affairs Investigation Records (Complaint Cards)	Records of investigations that result in sustained formal discipline.		15				Local Retention Schedule for Records of Public Safety Agencies item number 4075-01(b).		C

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Records Retention Schedule

237	6.1	Police- Criminal Offense Records (Unsolved)		AC				AC=End of statute of limitations.		Local Schedule for Records of Public Safety Agencies item number 4125-05(a)		S
238	6.1	Police- Field Interrogation Reports	Reports on persons stopped and interrogated in the field because of suspicious behavior.	AV						Local Retention Schedule for Records of Public Safety Agencies item number 4150-05.		C
239	6.1	Police- Incident Reports	Reports concerning incidents or complaints that, after investigation, did not appear to have involved the commission of a crime.			3				Local Retention Schedule for Records of Public Safety Agencies item number 4150-07.		S

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Records Retention Schedule

241	6.1	Police-Offense Investigation 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.	N
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Retention Codes (Field 7)				Archival Codes (Field 10)		Code (Field 13)
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Records Retention Schedule

241a	6.1	Police-Offense Investigation 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.		N
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Retention Codes (Field 7)				Archival Codes (Field 10)		Code (Field 13)
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Records Retention Schedule

241b	6.1	Police-Offense Investigation 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.	N
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Retention Codes (Field 7)				Archival Codes (Field 10)		Code (Field 13)	
AC – After closed, terminated, completed, expired, settled AV – Administratively valuable	CE – Calendar year end FE – Fiscal year end	LA – Life of asset PM – Permanent	US – Until Superseded	A/I – Transfer to State/University Archivist R/O – Review by State/University Archivist	S – Same N – New C – Changed O – Obsolete		

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241c	6.1	Police- Offense Investigation 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, and possession of drug paraphernalia.			6		Retention Note: Retention periods date from date of arrest or citation and are based on the highest classification of offense for which a person is arrested and charged or, if applicable, the highest classification of offense for which a person is tried, whichever the lesser classification.		C
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Retention Codes (Field 7) AC – After closed, terminated, completed, expired, settled 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		Code (Field 13) S – Same N – New C – Changed O – Obsolete	
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Records Retention Schedule

467	6.1	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 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, art. 2.135-2(b)	N
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Retention Codes (Field 7)				Archival Codes (Field 10)		Code (Field 13)
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Records Retention Schedule

468	6.1	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, art. 2.135-2(b).	N
458	6.1	Emergency Protective Order Lists	Periodic lists of persons under protective orders.	US							N
459	6.1	Emergency Protective Orders - Issued by magistrate pursuant to Family Code Ch. 85		AC				AC = Period that the order is effective or 2 years after order issued, whichever later.		Family Code, Section 85.025	N

Retention Codes (Field 7)				Archival Codes (Field 10)		Code (Field 13)
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460	6.1	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, Article 17.292 (j)	N
461	6.1	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							N

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245	6.1	Police- Property Records	Reports, logs, property cards, receipts, notices, and similar records documenting the receipt, processing, chain of custody, and disposition by return, destruction, or sale of evidential, stolen, abandoned, unclaimed, impounded, or recovered property, including motor vehicles, by a law enforcement agency.	AC	4		AC = Return or disposal of property.		Local Retention Schedule for Records of Public Safety Agencies item number 4175-09. Retention Note: Any records in this series must be retained for FE + 5 years if they serve to document the collection of sales tax due to the State Comptroller of Public Accounts.		C	
246	6.1	Police- Statistical Reports Files- Annual		PM					JC3950-01a	34 CFR 668.46- Clery Act	S	
425	6.1	Cleary 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					Includes crimes occurring on campus, in a non-campus building or property, on public property as defined by 34 CFR, Section 668.46(a), or within the patrol jurisdiction of campus police. JC3950- 01b.		C
426	6.1	Cleary 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 Cleary Act.	AC	7		AC = Until superseded, expired or discontinued.			20USC 10929(f); 34 CFR 668.46(g)		C

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247	6.1	Police- Statistical Reports Files- Monthly	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.		3				JC 3950-01d, Crime Statistics	34 CFR 668.46(d)-Clery Act.	S
427	6.1	Police- Annual Fire Safety Report		PM					JC3950-02a	34 CFR 668.49	S
428	6.1	Police- 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				JC3950-02b	34 CFR 668.49	S
429	6.1	Police- Fire Log	A written, easily understood fire log that records the nature, date, time and general location of fires occurring in on-campus student housing facilities.		7				JC3950-02c.	34 CFR 668.49	S
248	6.1	Police- Tickets		FE	5						S

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461	6.1	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						N
6	6.2	Accession Records – Library and Archives		PM					Refer to 2.1.011 (Finding Aids, Indexes, and Tracking Systems) for archival finding aids.		S
45	6.2	Bindery Lists	Records pertaining to materials sent for off-campus binding.	FE	3						S
171	6.2	Library- 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 (1.2.001) or in records disposition logs (1.2.010).		C

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440	6.2	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), refer to item number 5.1.001.		N
441	6.2	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							N
172	6.2	Library Course Materials		US								S
442	6.2	Exhibit Records	This series documents the display and use of materials held by the collection units or displays created by the units. This series may include 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			N

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443	6.2	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							N
173	6.2	Library- Interlibrary Loan Lending (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							C
438	6.2	Library Catalog	Catalog of bibliographic records used as a guide to library holdings.	US						The disposal or suppression of library catalog records needs not be documented through destruction authorizations (1.2.001) or in records disposition logs (1.2.010).		N

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439	6.2	Library Materials Control Records	Includes records of the acquisition and cataloging of library materials.	AC				AC = Catalog updated.		CAUTION: Does not include library catalog. Refer to item number 438, Library Catalog. CAUTION: Refer to item number 4.7.004 (Capital Asset Records) for records documenting purchase of library materials. The disposal of library material control records needs not be documented through destruction authorizations (1.2.001) or in records disposition logs (1.2.010).		N
1	6.3	Academic Calendars			5				O			S
12	6.3	Accreditation Records		FE	10				O	Records kept according to accrediting organization's requirement.		S
13	6.3	Accreditation Records-Final Reports		PM					O			S
473	6.3	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, retain according to item number 5.1.012.		N

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472	6.3	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					CAUTION: Does not include Texas Alcoholic Beverage Commission (TABC) certificates required of servers. Refer to RRS [new series proposed; RSIN TBD].		N
481	6.3	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	Refer to item number 482 for routine event administration records.		N

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482	6.3	Event Administration Records-Routine	This series documents facilities services and other accommodations provided by the institution for events. Records may include: facilities reservation agreements; 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 items in section 4.1 for financial records, 5.1.001 for written agreements or contracts, and section 5.3 for purchasing records. CAUTION: Refer to item number 481 for records of special events.		N
483	6.3	Lecture 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: Refer to item number 481 and 482 for records of event planning and administration.		N
485	6.3	Permits and Licenses	Records documenting the application for and 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. Refer to item number 209.				N

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480	6.3	Alumni Association Service 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				N
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24	6.3	Alumni Records	This series documents the activities of an institution or department's alumni and may also provide alumni offices with information on alumni. Records may be used: to create a network of support from alumni, primarily through organized alumni groups; to track alumni; to monitor their achievements, activities, and recognitions; to create statistics; to reply to information requests; and to provide information on the accomplishments of previous students. 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	AV								O	Refer to item number 5.1.004 (Mail and Telecommunications Lists) for records used exclusively for contacting alumni.		C
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31	6.3	Athletics- Conference Records			10				I			S
444	6.3	Athletics-Scholarship and Grant-in-Aid Award Records - 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							N

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445	6.3	Athletics-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 = AC = Expiration of contract.				N
446	6.3	Athletics-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						N
447	6.3	Athletics-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.				N

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448	6.3	Athletics-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							N
450	6.3	Athletics-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							N
451	6.3	Athletics-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							N

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452	6.3	Athletics-Recruiting Records	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.			N
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453	6.3	Athletics-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).	N
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454	6.3	Athletics-Student Athlete Insurance Records - Secondary Coverage Insurance	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	7		AC = Claim settled.				N
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6.3	455	Athletics-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).	N
32	6.3	Athletics- Game Films		AV					O			S
449	6.3	Athletics-Game Tickets and Ticket Orders	This series documents the sale and purchase of season passes and game day tickets. Records include but are not limited to: extra game tickets, ticket orders, season pass order forms, and ticket stubs.	FE	3							N

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457	6.3	Athletics-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. Records may include: 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. Refer to agency item number 456 for ticket sales and reconciliation records for non-athletic events.	N
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50	6.3	Broadcast / Program 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.	FE	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 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 and 73.1820 for Station Logs	C
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456	6.3	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. Records may include: 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						N
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475	6.3	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: 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.				N
531	6.3	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						N
66	6.3	Class Rolls, Summaries and Rosters		AC	5		AC = End of academic year in which data is posted to transcripts.	JC3725-06a.			S

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67	6.3	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.	O		Texas Education Code Sec. 51.974	C
68	6.3	Classes- Schedule Change Requests	Registration forms, class rosters, and similar records providing information on which courses students 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).	AC	1		AC = End of academic term.		CAUTION: Not to be confused with withdrawal records. Refer to agency item number 68. JC3725-04.		S

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73	6.3	Consent/Release for Records Disclosure	Written consents for information disclosure from the eligible student or student's parents.	AC				AC=Until terminated by the student, or terminate at same time as pertinent student record.				S
76	6.3	Copyright Information	Documentation kept on materials that may have been used for university activity but for which the university does not own the copyrights to and/or may not own the physical item itself.	AC	10			AC=After activity is completed.				S
77	6.3	Copyright Records	Documentation kept on materials that were done as "work for hire" (created by employees within the scope of their employment) for which the university owns part or full rights to.	AC				AC = 95 years from the work's first publication or 120 years from its creation, whichever is shorter.	Copyright is automatic and does not have to be registered.	17 U.S.C. 302		S
81	6.3	Course Inventory Data Files – Office of Institutional Research	Documentation kept by the Office of Institutional Research which is used to track historical information on courses, their credit hours, activity type and other related information.	PM					System policy to retain the information permanently.			S
82	6.3	Curriculum Records		AV					O			S
86	6.3	Dean of Students- Student Information Files			5							S
87	6.3	Death Certificates		PM								S

Retention Codes (Field 7)				Archival Codes (Field 10)			Code (Field 13)
AC – After closed, terminated, completed, expired, settled	CE – Calendar year end	LA – Life of asset	US – Until Superseded	A/I – Transfer to State/University Archivist	R/O – Review by State/University Archivist	S – Same	N – New
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Records Retention Schedule

88	6.3	Deceased Student Files		AC	9		AC = Date of notification of death.				S
91	6.3	Departmental Grants, Financial Assistance, and Stipends	Funds provided by a department to cover travel and research costs.	AC	5		AC = Date of award.				S
125	6.3	Faculty Appointment, Promotion and Tenure Files	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.	O	CAUTION: For records of staff employee recognition, see RRS 3.1.037. CAUTION: Institutions should determine whether these materials possess archival value.	29 CFR 1602.49. for Promotion and Tenure Records 29 CFR 1602.49(a) for Personnel Information or Action Forms	S
126	6.3	Faculty Handbooks		US	3			O			S
535	6.3	Institutional Biosafety Committee (rDNA Research) Minutes	This series includes meeting minutes of the Biosafety Committee.		5						N
127	6.3	Faculty Teaching/Workload Reports			5						S

Retention Codes (Field 7)				Archival Codes (Field 10)			Code (Field 13)
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Records Retention Schedule

137	6.3	Fundraising Records	<p>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.</p>		7					<p>CAUTION: Does not include financial records. Refer to agency item number 140 (Gift Income Records).</p> <p>CAUTION: For donor files, refer to item number 498 (Donor Files). For event administration records, refer to item number 481 (Event Administration - Routine) and item number 482 (Event Administration - University Special Events). For public relations records, refer to item number 1.1.019.</p> <p>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.</p>	C
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<p>Retention Codes (Field 7)</p> <p>AC – After closed, terminated, completed, expired, settled AV – Administratively valuable</p>	<p>CE – Calendar year end FE – Fiscal year end</p>	<p>LA – Life of asset PM – Permanent</p>	<p>US – Until Superseded</p>	<p>Archival Codes (Field 10)</p> <p>A/I – Transfer to State/University Archivist R/O – Review by State/University Archivist</p>	<p>Code (Field 13)</p> <p>S – Same N – New C – Changed O – Obsolete</p>
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Records Retention Schedule

140	6.3	Gift Income Records	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						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.		S
498	6.3	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, refer to item number 499 (Gift Records - Institutional) and item number 500 (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.	Government Code, Chapter 552.1235 (EXCEPTION: IDENTITY OF PRIVATE DONOR TO INSTITUTION OF HIGHER EDUCATION) donors to higher ed institutions may be anonymous; identity may be withheld.	N

Retention Codes (Field 7)				Archival Codes (Field 10)		Code (Field 13)	
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Records Retention Schedule

150	6.3	Housing Applications-Not Occupied	Applications and selection decision documentation for applications that do not result in occupancy. May also include consumer reports and authorizations to obtain credit information. For applications that do result in occupancy, refer to item number 352.	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, 15 USC 1681p.		N
170	6.3	Liability Release Forms/Records	Waivers of liability signed by students and staff of the university.	AC	4		AC = Expiration of activity.		CAUTION: If litigation is involved the form(s) must be kept according to the terms of 1.1.048.		C
181	6.3	Mass Add/Drop Changes		AC	1		AC = Changes made.		Buckley Amendment, confidential record.		S
184	6.3	Medical- Charge, Payment, Refund Batch Documents		AC	10		AC=Date of service or until all audit questions, appeal hearings, investigations or court cases are resolved.			Medicaid minimum is 5 years, 1TAC 354.1004; Medicaid Managed Care is 10 years 42 CFR 422.504(d)(2).	S

Retention Codes (Field 7)				Archival Codes (Field 10)		Code (Field 13)	
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Records Retention Schedule

186	6.3	Medical- Patient Files/Medical Records	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. 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 patient; written	AC	10		AC = Date of last service. Or, retain until patient reaches age 21, whichever is longer.		Texas Medical Board minimum is 7 years from the last date of service or the patient's 21st birthday, whichever is later. 22 TAC 165; Medicaid Managed Care is 10 years (42 CFR 422.504(d)(2)) CAUTION: Any litigation must be concluded before final disposal.	C
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Retention Codes (Field 7)				Archival Codes (Field 10)		Code (Field 13)
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196	6.3	Office of Institutional Research- Integrated Postsecondary Education Data System			20					System policy		S
197	6.3	Office of Institutional Research- Legislative Budget Board Reports	Reports submitted to the to the Budget Board each long semester.	AC	6			AC = September 1 of odd-numbered calendar year.	I	ARCHIVES NOTE: 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.		S
203	6.3	Organizational Memberships		AV								S
204	6.3	Orientation Material		US	1				O	Office of origin retains record copy.		S
263	6.3	Ram-TV Public Inspection Files		AC				AC = Keep until FCC has notified otherwise.				S
275	6.3	Registration Logs and Rosters	Logs or sign-in sheets for meetings, conferences and special events	AV								S
300	6.3	Small Business Development Center- Client Files		FE	3							S
308	6.3	Student Affairs- Student Services Fees Request		FE	3							S
309	6.3	Student Retention Reports and Information		AV						SEE ALSO 1.1.065 and 1.1.067		S

Retention Codes (Field 7)				Archival Codes (Field 10)			Code (Field 13)
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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
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 US – Until Superseded

Archival Codes (Field 10)

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

1. Agency Code: 737		2. Agency Name: Angelo State University											
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations	13. N, C, O	14. Current AIN
					Years	Months	Days						
388	6.3	Surveillance/Security Tapes	Video Surveillance for, but not limited to, security of property and persons	AC			30	AC=After Date Recorded		Caution: If the surveillance video is needed as part of an investigation it should be retained with the investigation case file. The disposal or overwriting of surveillance videos need not be documented through destruction authorizations (1.2.001) or in records disposition logs (1.2.010).		C	
375	6.6	Student Course Work	This series documents student subject mastery in institution courses. Records may include but are 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: refer to 326 Caution: refer to 510	URRS-127	C	

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Records Retention Schedule

398	6.3	Textbook adoption Records			3						S
25	6.4	Animals- Research/Laboratory Records		AC	3		AC = End of project.			Animal Welfare Act of 1966, P.L. 89-544, 9 CFR 2.35.	S
530	6.4	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 Animal and Plant Health Inspection Service of the United States Department of Agriculture.		7 USC 2131 B 2157 9 CFR 2.35 Public Health Service (PHS) Policy on Humane Care and Use of Laboratory Animals (D.L. 99-158)	N
210	6.4	Patents, Trademarks and Documents, Research Records, and Records Reflecting Usage		AC	20		AC = After receipt of patent and registration of trademark.				S
284	6.4	Research Applications		AC	3		AC = Approval or rejection of application.				S
285	6.4	Research Data		PM				Confidential until published.			S
286	6.4	Research Data- Raw		AC	3		AC = Completion of project.				S

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Records Retention Schedule

287	6.4	Human Test Subjects - IRB Records	AC	3			AC = Completion of project.			S
288	6.4	Research Specimens- Herbarium Research/Laboratory Records	PM							S
2	6.5	Academic Testing Services- ACCUPLACER Applications and Scores (Master copies)	PM					Buckley Amendment, Confidential record.		S
3	6.5	Academic Testing Services- American College Test (ACT) Residual Applications and Scores - Master copy	PM							S
4	6.5	Academic Testing Services- College-Level Examination Program (CLEP) Score Rosters [Master copies]	PM					Buckley Amendment, Confidential record.		S

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Records Retention Schedule

5	6.5	Academic Testing Services- Student Exam Scores and Reports (Internal) for Admission and Placement	Applies to exams, applications for exam and related materials administered and monitored by Academic Testing Services. Includes CLEP, correspondence applications, ACT Residual Applications and Scores, and Quick TASP/Quick THEA Applications	AC	5		AC = Graduation or date of last attendance.		Buckley Amendment, Confidential record.		S
317	6.5	Students- Admissions Records- Enrolled/accepted	This series documents the application process for individuals seeking admission to the institution. Records may include but are 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	5		AC = Graduation or date of last attendance.		Buckley Amendment, Confidential record. (Students may have access to admissions comments).		C

Retention Codes (Field 7)				Archival Codes (Field 10)		Code (Field 13)
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Records Retention Schedule

318	6.5	Students- Admissions Records - Not Enrolled/Denied	This series documents the application process for individuals seeking admission to the institution. Records may include but are 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 = Beginning of semester of application.	Buckley Amendment, Confidential record. (Students may have access to admissions comments).		C
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Retention Codes (Field 7)				Archival Codes (Field 10)		Code (Field 13)
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Records Retention Schedule

506	6.5	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. Records may include but are 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 Immigration and Naturalization Service.	8 CFR 214.3(g), 22 CFR	N
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Retention Codes (Field 7)				Archival Codes (Field 10)		Code (Field 13)
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Records Retention Schedule

507	6.5	International Student Records - Not Enrolled/Denied	This series documents institution assistance to international students who are considering attendance at the institution. Records may include but are 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							N
508	6.5	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.					N

Retention Codes (Field 7)				Archival Codes (Field 10)		Code (Field 13)
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Records Retention Schedule

509	6.5	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.				N
370	6.5	Students- Scores and Reports (External), Admission		AC	5		AC = Selections.		Buckley Amendment, Confidential record.		S
376	6.5	Students- Transcript Request		AC	1		AC = Date submitted.		Buckley Amendment, Confidential record.		S
377	6.5	Students- 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					Buckley Amendment, Confidential record. Retention period based on TACRAO guidelines for academic records.		S

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Records Retention Schedule

533	6.5	Degree Program and Course Proposal - Working Files	Documents planning and discussions related to the implementation of new undergraduate and advanced degree programs and any major reorganization or changes to established programs Includes the working papers; letters of support; review agendas; faculty status reports; and related documentation and correspondence.		5							N
534	6.5	Degree Program and Course Proposal Files	Documents planning and discussions related to the implementation of new undergraduate and advanced degree programs and any major reorganization or changes to established programs. Includes final reports; curriculum committee meeting minutes; curriculum proposals; and reviews of individual degree programs by campus and off-campus sources.	PM					O			N

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Records Retention Schedule

128	6.6	Financial Aid Application and Award Records - Stafford and Parent Loan for Undergraduate and Graduate Students (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	5	AC = End of loan period for which loan was intended.			34 CFR 682.610(a)(2)	C
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Records Retention Schedule

130	6.6	Financial Aid Application and Award Records - Veterans Administration Educational 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	All audit requirements will be met prior to disposal.	38 CFR 21.4209(f), JC3750-01a(5).	S
214	6.6	Financial Aid Disbursement and Repayment Records -Pell Grants		AC	5		AC = End of award year.	All audit requirements will be met prior to disposal.	34 CFR 690.82(a).	S

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Records Retention Schedule

218	6.6	Financial Aid Disbursement and Repayment Records - Perkins Loan Program (NDSL)- Loans Repaid		AC	5		AC = Date of final payment.		34 CFR 674.19(e)(3)	S
219	6.6	Financial Aid Disbursement and Repayment Records - Perkins Loan Program- National Direct Student Loan (NDSL)- Original Promissory Notes		AC	5		AC = Assigned to U.S. Department of Education, cancelled or repaid.		34 CFR 674.19(e)(4)	S
292	6.6	Scholarships- Awarded, Donor Files, etc. - Departmental		AC	3		AC = End of award year.	JC3750-02i.		S
293	6.6	Financial Aid Application and Award Records - All Other Federal or State Loan Programs		AC	5		AC = End of the period for which the loan was intended.	Federal Register, 1-19-81, Part 3, Dept. of Education, Vol. 46, no. 12, 672.19, P3C, JC3750-021h.		C

Retention Codes (Field 7)				Archival Codes (Field 10)		Code (Field 13)	
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521	6.6	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 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 for Title IV and HEA, 34 CFR 674.19(e)(3)(i) for Federal Perkins Loan, 34 CFR 675.19(b)(1) for Federal Work-Study (FWS), 34 CFR 690.82(a) for Federal Pell Grant, and 34 CFR 676.19(b) for Federal Supplemental Educational Opportunity Grant (FSEOG).	N
522	6.6	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.				N

Retention Codes (Field 7)				Archival Codes (Field 10)		Code (Field 13)
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523	6.6	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.				N
512	6.6	Hazlewood Act Documentation	This series documents eligibility to claim the Hazlewood exemption and institutional records to track benefit hours claimed.	PM						Refer to item number 518 for Veterans Affairs Certification Records and 519 for other records pertaining to the entitlement status and enrollment of veterans in the institution.	19 TAC 21.85 for loans made before fall 1971. 19 TAC 21.54 for loans after fall 1971.	N
513	6.6	Hazlewood Act Documentation - Non-awarded Applicants	This series documents eligibility to claim the Hazlewood exemption and institutional records to track benefit hours claimed.	AC	2			AC = Date loan denied.		Refer to item number 518 for Veterans Affairs Certification Records and 519 for other records pertaining to the entitlement status and enrollment of veterans in the institution.	Texas Education Code §54.241 (Hazlewood Act), 19 TAC 21.85	N

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518	6.6	Veterans Affairs Certification Records	This series documents institutional submission of Certification of Enrollment reports required by the U.S. Department of Veterans Affairs.	AC	3		AC = Date of last period certified.	US Department of Veterans Affairs School Certifying Official Handbook; 38 CFR 21.4209(f) Refer to item number 512 for Hazlewood Act documentation and item number 519 for all other records pertaining to the entitlement status and enrollment of veterans in the institution.		N
519	6.6	Veterans Records	This series documents the entitlement status and enrollment of veterans in the institution. Records include but are not limited to: individual veteran student records that certify to the U.S. Department of Veterans Affairs 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	Refer to item number 512 for Hazlewood Act documentation and item number 518 for records of U.S. Department of Veterans Affairs certification.	38 CFR 21.4209	N

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424	6.6	Students- 4th and 12th Class Day Reports (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.		5				Buckley Amendment, Confidential record..		S
311	6.6	Students- Academic Progress Records		AC	5		AC = Graduation or date of last attendance.		Buckley Amendment, Confidential record.		S
310	6.6	Students- Academic Records		PM					Buckley Amendment, Confidential record.		S
313	6.6	Students- Academic Status Report		PM					Buckley Amendment, Confidential record.		S
314	6.6	Students- Academic Suspension Waiver		AC	3		AC = Graduation or date of last attendance.		Buckley Amendment, Confidential record.		C
315	6.6	Students- Add/Drop Class Records		AC	5		AC = Graduation or date of last attendance.		Buckley Amendment, Confidential record.		S
510	6.6	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. Information may include 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.		Refer to item number 316 for student advising records. CAUTION: International student academic records must be retained at least 1 year after final notice to Immigration and Naturalization Service. CAUTION: Refer to item number 489 and 491 for additional retention requirements for International student records.		N

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316	6.6	Students- Advisement	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	5		AC = Graduation or date of last attendance.				S
515	6.6	Independent Study Records	This series documents departmental approval for students to enroll in independent study courses. Records may include but are 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.				N
516	6.6	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.	Refer to 517 for other internship program records.			N

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517	6.6	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. Records may include but are 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.		Refer to item number 516 for internship applications for which student was denied or did not enroll.		N
514	6.6	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.				N
520	6.6	Fee Assessment Forms	This series documents the payment of fees for course fees, lab time, diplomas, commencement, etc.	AC	5		AC = Graduation or date of last attendance.				N

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319	6.6	Students- Athletic Eligibility Records	Academic progress reports used to provide a record of verification by intercollegiate athletics of student athletes' academic progress to the NCAA or NAIA.	AC	10			AC = Student separation from the department or university.		Buckley Amendment, Confidential record.		C
320	6.6	Students- Individual Athletes Records	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. This series does not include confidential records of the athlete.	AC	5			AC = Graduation or last day of attendance.		Buckley Amendment, Confidential record.		C
321	6.6	Students- Attendance Records			5					Buckley Amendment, Confidential record.		S
322	6.6	Students- Authority to Inspect Records	Written consent from the student for information disclosure.	PM						JC3775-02c		S

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524	6.6	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 district for what the district 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)	N
528	6.6	Student Grievance Records	This series documents grievances brought forward by students against the institution which do not result in litigation. Grievances may pertain to academic issues; housing; affirmative action and equal opportunity; student conduct; and other issues. Records include: 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 item number 1.1.048. If the grievance goes to the university ombudsman, the record should be retained as an ombudsman record per item number 3.3.039.	N

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525	6.6	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).	N
526	6.6	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								N
323	6.6	Students- Change of Status Forms		AC	5			AC = Graduation or date of last attendance.				S
324	6.6	Students- Class Roll Summary			5							S
325	6.6	Students- Class Schedules: Preparation Records			5							S
326	6.6	Students- Comprehensive Exams		AC	3			AC = Graduation or date of last attendance.				C
327	6.6	Students- Counseling Notes		AC	10			AC = After last session attended.				S
328	6.6	Students- Course Equivalencies		US	1							S

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329	6.6	Students- Course Outlines and Descriptions		FE	7							S
330	6.6	Students- Course Proposal Files			5				O	JC 3900-01		S
331	6.6	Students- Curriculum Change Records		AV								S
332	6.6	Students- Data Sheets		AC				AC = Graduation or date of last attendance.				S
334	6.6	Students- Degree Audit and Application for Graduation	This series documents student completion of degree requirements, including authorizations certifying completion of degree requirements. The series may include 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	5			AC = Graduation or date of last attendance.		Buckley Amendment, Confidential record.		C

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478	6.6	Commencement Records	This series documents commencement program planning and implementation at the institution. Records may include but are 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			N
335	6.6	Students- Degree Plans		PM					Buckley Amendment, Confidential record. Retention period based on Texas Association of College Registrars and Admissions Officers (TACRAO) guidelines for academic records.		S
511	6.6	Graduation - Diploma Administration Records	This series includes records of diplomas picked up in person, mailed, and returned.	AC	1		AC = Request fulfilled				N

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336	6.6	Student Conduct Records/Disciplinary Action Records-Expulsion and Suspension	This series documents academic dishonesty and conduct violations among students. Records may include but are 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; suspension and expulsion records and related documentation and correspondence.	PM							N
336a	6.6	Student Conduct Records/Disciplinary Action Records	This series documents academic dishonesty and conduct violations among students. Records may include but are 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; suspension and expulsion records and related documentation and correspondence.	AC	7			AC = Graduation or withdrawal.	CAUTION: Retention depends on nature of penalty assessed. Only penalties of expulsion or suspension are maintained permanently. Buckley Amendment, Confidential record.		C

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338	6.6	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	Retention period based on TACRAO guidelines for statistical reports.		S
339	6.6	Students- Enrollment Verification		AC	1			AC = Verification.		Buckley Amendment, Confidential record. However, student directory information which includes names, on-campus address, D.O.B. and major is public information.		S
340	6.6	Students- Evaluations of Course Instructor			7							C
341	6.6	Students- Evaluations of Course Instructor Reports			7							C
342	6.6	Students- Exam Make Up Request			2							S
343	6.6	Students- Exam Scantrons & Reports		AC	1			AC = End of academic term.				C
344	6.6	Students- Excused Absence Requests			1							S

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345	6.6	Students- Financial Aid Records		AC	5			AC = Graduation or withdrawal.	All audit requirements will be met prior to disposal. Buckley Amendment, Confidential record. Federal Register, 1- 19-81, Part 3, Dept. of Education, Vol. 46, No. 12, 676.19, PC3, PG.5292, JC3750-01a(6)(7)(8).		S
346	6.6	Students- Grade Appeals		AC	3			AC = After appeal denied or approved.			S
347	6.6	Students- Grade Books	Record of students in 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	4			AC = End of Semester.	Retention period based on TACRAO guidelines for academic records.		S
348	6.6	Students- Grade Changes		PM					Buckley Amendment, Confidential record. Retention period based on TACRAO guidelines for change of grade forms.		S
349	6.6	Students- Grade Reports Sent to Students			1				Buckley Amendment, Confidential record.		S

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350	6.6	Students- Grade Sheets (Original)		PM						Buckley Amendment, Confidential record. Retention period based on TACRAO guidelines for class lists (original grade sheets).		S
351	6.6	Students- Graduation Status and Ranking		PM						Buckley Amendment, Confidential record. Retention period based on TACRAO guidelines.		S
352	6.6	Students- Housing 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.	O			C
353	6.6	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.		Buckley Amendment, Confidential record.		C

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354	6.6	Students- ID System [University]	Includes name, ID number, meal plan, One Card plans, classification, address, access privileges both building and student access to facilities such as rec., student health, ethnicity, gender, etc.	AC	4		AC = After last enrollment.				S
356	6.6	International Student Records		AC	5		AC = Graduation or withdrawal.		Buckley Amendment, Confidential record.		C
355	6.6	Students- Military Training, Credit for		AC	3		AC = Graduation or date of last attendance		Buckley Amendment, Confidential record.		C
357	6.6	Students- Name Change Request		AC	5		AC = Request received.		Buckley Amendment, Confidential record.		S
358	6.6	Students- Nondisclosure of Information	Written refusal from the student to disclosure of directory information.	AC			AC = Termination of enrollment.		JC3775-02d, Buckley Amendment, Confidential record.		S
359	6.6	Students- Pass/Fail Records		AC	1		AC = Graduation or withdrawal.		Buckley Amendment, Confidential record.		S
360	6.6	Students- Permits for Admission to Register		AV					Buckley Amendment, Confidential record.		S

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361	6.6	Students- Placement and Career Counseling	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. Information 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 = Termination of counseling.	Buckley Amendment, Confidential record.		S
476	6.6	Recruiters Records	This series provides a record of recruiter visits to the campus to participate in job fairs or conduct job interviews. Records may include but are 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						N
362	6.6	Academic Action Authorizations	Authorizations for academic actions, such as academic probation, suspensions, dismissals, reinstatements, etc.	AC	3			AC = Graduation or date of last attendance.	Buckley Amendment, Confidential record.		C

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363	6.6	Students- Recognition Records (Awards, etc.)		AC	3			AC = Issuance of award or recognition.	O			S
364	6.6	Students- Recruitment Records		AC	3			AC = After application term.		JC3900-05, Buckley Amendment, Confidential record.		S
365	6.6	Students- Reports	Reports generated by departments that do not fall under other categories such as admissions, grades, financial aid, etc.		5					Buckley Amendment, Confidential record.		S
366	6.6	Students- Residency Affidavits and Documentation	This series documents declarations filed by students regarding state residency status which is critical for determining tuition status. Records may include but are not limited to: affidavits; correspondence regarding residency; and related documentation.	AC	6			AC = Date of submission.		CAUTION: Not for residency classification forms submitted by applicants as part of the admissions process. SEE item 317.	Texas Education Code §54.052.	C
367	6.6	Students- Scholarship Applications (Rejected)		AC	1			AC = End of academic period for which aid was denied.		JC3750-01b, SEE ALSO Students-Financial Aid Records. Buckley Amendment, Confidential record.		S
371	6.6	Students- Statistics	Historical information gathered on the student make up of the university, including degrees given and racial/ethnic information	PM								S

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372	6.6	Students- Student Organizations	This series documents the history, development, and policies of campus student organizations. Records may include but are 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 (including email) 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.		C
373	6.6	Students- Student Teaching		AC	10			AC = Completion of teaching.				S
532	6.6	Student Certification Records - Academic	Documents student completion of certificate programs offered by university academic programs.	PM								N
374	6.6	Students- Test Materials (External)		US								S

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375	6.6	Students- Tests, Student Academic		AC	1		AC = After test administered.		Buckley Amendment, Confidential record.		S
380	6.6	Students- Waiver Records		AC	2		AC = As long as the record to which access waiver documentation applies is maintained.		JC3775-03. Buckley Amendment, Confidential record.		S
381	6.6	Students- Withdrawal/Reinstatement		AC	3		AC = End of academic term in which enrollment is terminated.		JC3725-12. Buckley Amendment, Confidential record.		S
382	6.6	Students- Work-Study: Certificates of Payment		AC	5				Retention based upon Federal requirements for Pell Grant and other campus based programs. All audit requirements will be met prior to final disposal.	34 CFR 676.19(c).	C
430	6.6	Continuing Education Records	Includes registration forms, class lists, final grades/credit sheets, syllabi, course information, certification information, and other administrative records regarding continuing education courses and students.	AC	5		AC = End of academic term.		CAUTION: May contain confidential records.		S
384	6.6	Supplemental Educational Opportunity Grants (SEOG)		AC	5		AC = Submission of Fiscal Operations Reports and Application to Participate (FISAP report).			34 CFR 676.19(b)	S

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477	6.6	Academic Program Administrative Records	<p>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.</p>		5				0			N
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Retention Codes (Field 7)				Archival Codes (Field 10)		Code (Field 13)	
AC – After closed, terminated, completed, expired, settled	CE – Calendar year end	LA – Life of asset	US – Until Superseded	A/I – Transfer to State/University Archivist	S – Same	N – New	
AV – Administratively valuable	FE – Fiscal year end	PM – Permanent		R/O – Review by State/University Archivist	C – Changed	O – Obsolete	