

Texas State University Records Retention Schedule (URRS)

1st Edition



SLRM
STATE AND LOCAL
RECORDS
MANAGEMENT

Effective December 10, 2019

Texas Administrative Code, Title 13, chapter 6, Section 6.10(b)

TEXAS STATE LIBRARY AND ARCHIVES COMMISSION

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.

INQUIRIES AND COMMENTS REGARDING THIS SCHEDULE SHOULD BE
DIRECTED TO:

TEXAS STATE LIBRARY AND ARCHIVES COMMISSION
STATE AND LOCAL RECORDS MANAGEMENT DIVISION

PO BOX 12927, AUSTIN, TEXAS 78711-2927

512-463-7610

Introduction

University Records Retention Schedule (URRS) is adopted as an administrative rule of the Texas State Library and Archives Commission (TSLAC).

This retention schedule indicates minimum length of time records series must be retained by a public university or institution of higher education in the State of Texas before destruction or archival preservation. The URRS does not take the place of a university's retention schedule but is to be used by the university to create and update its schedule. Additionally, the URRS does not replace the Texas State Records Retention Schedule (RRS). Both the URRS and RRS should be used by universities when developing their own schedule for approval by TSLAC. Records series listed on the URRS are those that are commonly found in most public universities. The retention periods given in the URRS are required minimums. TSLAC also recommends them as appropriate maximum retention periods.

In addition to the common records listed in the URRS, each agency has unique records series that must be included in its retention schedule. Each agency must submit a complete records retention schedule, entered on Form SLR 105, or an approved facsimile, to the State and Local Records Management Division of the Texas State Library and Archives Commission (Government Code, §441.185).

If a federal or state statute or regulation specifies a longer retention period for any records series received, created, or maintained by an agency, the statute or regulation overrides this schedule.

SUMMARY OF IMPORTANT POINTS

- The URRS does not take the place of an agency records retention schedule.
- The URRS is to be used to create and update an agency records retention schedule.
- Retention periods listed in the URRS are required minimums. Some agencies may need to keep some of the records listed for longer periods; agency legal staff should be consulted.
- Federal or state statutes or regulations requiring longer retention periods override retention periods in the URRS.
- For individual records series, there may be requirements in law or regulation for submitting copies of records to other state agencies. Each agency should determine any requirements for filing copies that may apply to the agency's specific records series.
- Each agency must submit a complete records retention schedule to the State and Local Records Management Division of the Texas State Library and Archives Commission.

EXPLANATION OF FIELDS

RECORDS SERIES ITEM NUMBER — Records series item numbers are assigned by the State and Local Records Management Division of the Texas State Library and Archives Commission.

RECORDS SERIES TITLE — The most general titles possible have been chosen. Explanations are provided for those titles which are not self-explanatory.

ARCHIVAL — Those records series that must be reviewed or transferred to the institutional/university archives for long-term preservation. Archival codes (I or O) are shown in the lower right corner of each page of the schedule.

TOTAL RETENTION — Retention is expressed in years unless otherwise noted. Retention codes are listed in the lower left corner of each page of the schedule (see page ix).

REMARKS — This column contains citations additional information regarding records retention requirements.

LEGAL CITATION - This column contains citations to applicable federal or state laws or regulations affecting retention.

EXPLANATION OF CODES

ARCHIVAL CODES:

I – The records must be transferred to the institutional/university archives for long-term preservation.

O – The institutional/university archives must be contacted for an archival review of the records before disposition. Those records determined to be archival must be transferred to the institutional/university archives for long-term preservation.

RETENTION CODES: All numbers used with retention periods are expressed in years unless otherwise indicated.

AC – After Closed (or terminated, completed, expired, or settled): The record is related to a function or activity with a finite closure date.

AV – As Long as Administratively Valuable: The immediate purpose for which the record was created has been fulfilled and any subsequent need for the record to conduct the operations of the university, if any, has been satisfied.

CE – Calendar Year End: December 31.

FE – Fiscal Year End: August 31.

LA – Life of Asset: The record is retained until the deposit of the asset.

PM – Permanent: A record that possesses enduring legal, fiscal, or administrative value and must be preserved permanently by the university.

RRS – State Records Retention Schedule, 13 TAC 6.10(a).

US – Until Superseded: The record is replaced by an updated version. If a record subject to this retention period is discontinued or is no longer required by law, the date of supersession is the date the decision to discontinue the record is made or the law takes effect. If the record relates to an employee, the date of supersession is the date of termination or the last date the record is needed with reference to the employee, as applicable.

URRS-XX - Former records series item number used during the creation of the URRS and published in the draft guidance document. Maintained in Remarks section as a reference and crosswalk to new numbering scheme. For example, URRS-36.

URRS-University Records Retention Schedule 13 TAC 6.10(b).

EXPLANATION OF TERMS

ARCHIVES NOTE – Emphasizes the need for action/attention by university to ensure records with archival value are properly maintained/retained.

CFR – Code of Federal Regulations. Regulations of federal agencies adopted under authority of laws enacted by the U.S. Congress.

RECORD COPY – The document which is kept on file as an original or official record for the total retention period. It is distinct from a “working” or “convenience” copy, which is a duplicate used for reference purposes.

Caution: Care must be taken by records management officers in determining if duplicate records are, indeed, convenience copies or if two or more copies of the same document must be considered record copies. It is very possible for the same document to be present in two or more units of a university and be the record copy in each unit if it serves a different function in each of those units.

RECORDS SERIES – A group of identical or related records with the same function and the same retention period that is evaluated as a unit for retention scheduling purposes.

RETENTION PERIOD – The amount of time a records series must be retained before destruction or archival preservation.

STATE PUBLICATION – Information in any format that is produced by the authority of or at the total or partial expense of a state agency or is required to be distributed under law by the university and is publicly distributed. The term does not include information the distribution of which is solely limited to contractors with or grantees of the agency, staff persons within the agency or within other government agencies, or members of the public under a request made under the Public Information Act, Government Code, Chapter 552. The term includes but is not limited to: a publication distributed in print; on microform; as audiovisual material; as interactive media or on electronic external storage device; as an on-line publication; which is an index to other on-line publications; as one or more text, graphic, or other digital files; or as a user interface to a computer database.

TAC — Texas Administrative Code. Regulations of state agencies adopted under authority of laws enacted by the Texas Legislature.

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Category 11: University Administrative Records

Section 11.1 - General University Administrative Records

Records Series Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
11.1.001	Alumni Association Services Program Records	This series documents the implementation of programs administered by the office such as those relating to marketing products, credit cards; insurance, and football tickets. This series may include but is not limited to: dues information and related documentation; and correspondence.	5	O	URRS-36	

Retention Codes (field 7)

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

FE – Fiscal year end

LA – Life of Asset
 PM – Permanent
 US – Until Superseded

Archival Codes (Field 10)

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

Records Series Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
11.1.002	Alumni Records	This series documents the activities of an institution or department's alumni and may also provide alumni offices with information on alumni. This series may include but is not limited to: memberships lists with names, addresses, employer names and addresses, and positions; minutes, by-laws and directories of clubs in many communities and several major cities throughout the United States; promotional materials concerning annual gatherings; homecoming plans and programs; data cards and files for individual alumni; degree recipient lists; outstanding alumni lists; student leader lists; class officer lists; foreign student rosters; international alumni club records; and notes, memoranda, and related correspondence concerning general alumni affairs.	AV	I	URRS-39 See RRS 5.1.004 for records used exclusively for contacting alumni.	
11.1.003	Award Administration and History Records	This series documents the process of selecting institutional faculty, staff, students and alumni to receive awards, fellowships, and scholarships based on merit or achievement. This series may include but not limited to: eligibility terms and selection criteria; award history and information on funding sources; award notifications; summary lists of winners, and biographies of winners.	AC	O	URRS-47 AC = Termination of award. ARCHIVES NOTE: Only institutional awards merit archival review. Department-level awards recognizing employee or student achievement do not need to be reviewed for archival value. See RRS 1.1.019 for press releases.	

Retention Codes (field 7)

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

Retention Codes (Field 10)

FE – Fiscal year end
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Archival Codes (Field 10)

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Records Series Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
11.1.004	Award Selection Records	This series documents the process of selecting institutional faculty, staff, students and alumni to receive awards based on merit or achievement. The series may include but is not limited to: applications; nomination letters; recommendations; transcripts; letters of award notification or denial; letters accepting or declining awards; demonstration of need documentation; vote tallies; ranking sheets; and related documentation and correspondence.	2		URRS-48 CAUTION: This records series documents the process of selecting an individual to receive an award. See RRS 3.1.037 for records of an employee receiving an award, incentive, or tenure.	
11.1.005	Copyright Records	This records series pertains to the form of protection that may be obtained for original works of authorship by a University employee within the scope of his or her employment, including works such as intellectual, artistic, computer software, and literary works. Records may include but are not limited to a copy of the work of authorship itself (e.g., an article, book, computer program) as submitted to the United States Copyright Office and the corresponding copyright application and registration notice.	AC		URRS-301 AC = Expiration of copyright.	17 U.S.C. 302.

Retention Codes (field 7)

AC – See event trigger for specific records series definition
 AV – Administratively valuable
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Archival Codes (Field 10)

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Records Series Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
11.1.006	Event Administration Records - Routine	This series documents facilities, services and other accommodations provided by the institution for events. Records may include: room reservation lists; customer and room occupancy lists; catering services orders; customer evaluations; summary reports; and related correspondence.	AC+1		URRS-40 AC = Completion of the event. CAUTION: Use this record series in conjunction with RRS Section 4.1 for financial records, RRS 5.1.001 for written agreements or contracts, and RRS Section 5.3 for purchasing records. See URRS 11.1.007 for records of special events.	
11.1.007	Event Administration Records - University Special Events	This series documents the efforts of a college or unit to provide informative sessions, short-courses, workshops, training programs, excursions, and celebratory events for members of the institution and the communities it serves. This series may include but is not limited to: materials on planning and arrangements; reports; promotional and publicity materials; press releases and news clippings; photographs; presentation materials and handouts; schedules of speakers and activities; registration and attendance lists; participant evaluations; and related documentation and correspondence.	AC+4	O	URRS-42 AC = Completion of the event. See 11.1.006 for routine event administration records.	

Retention Codes (field 7)

AC – See event trigger for specific records series definition
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Archival Codes (Field 10)

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Records Series Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
11.1.008	External Committee Records	This series documents the relationship and participation of institution units in external professional and educational associations and other organizations. The unit's role may be one of membership on the advisory or administrative board, participation in a task force or subcommittee, or one of membership in consortia. This series may include but is not limited to: promotional information; rules and regulations; reports; proposals and planning records; workshop and conference records; surveys and questionnaires; minutes; and related documentation and correspondence.	AC		URRS-24 AC = Termination of service on committee, disbanding of committee, or records of committee no longer administratively valuable to the agency. CAUTION: See URRS 11.1.015 for meeting records of internal university committees.	
11.1.009	Lectures and Lecture Series Records	This series documents the development and history of special lectures and continuing lectureships devoted to a variety of topics and disciplines sponsored by the institution. This series may include but is not limited to: information on funding; financial support and honoraria records; patron information; information on catering arrangements; and related documentation and correspondence.	5	O	URRS-43 CAUTION: See URRS 11.1.006 and URRS 11.1.007 for records of event planning and administration.	

Retention Codes (field 7)

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

Retention Codes (field 7)

FE – Fiscal year end
 LA – Life of Asset
 PM – Permanent
 US – Until Superseded

Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
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Records Series Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
11.1.010	Permits and Licenses	Records documenting the application for and the issuance of permits and licenses by the institution for sales, solicitation, facility usage, and similar activities.	AC+2		URRS-503 AC = Expiration, cancellation, revocation, or denial. CAUTION: Does not include parking permits. See RRS 5.6.009.	
11.1.011	Photographs, Audiovisual Recordings, and Other Non-Textual Media	This series provides photographic and/or audiovisual documentation of institution activities, events, students, faculty, and staff. This series includes photographs, digital images, photographic scrapbooks, negatives, slide formats, sound recordings, videotapes, posters, and other non-textual media that document institutional history and activities, *except* such records noted elsewhere in this schedule.	AV	O	URRS-6 ARCHIVES NOTE: Archivists should apply archival selection criteria in the appraisal of these items. Selection criteria may include level of identification. Archivists may arrange with digital asset managers or similar personnel to identify historical photographs prior to transfer to the archives. See RRS 1.1.057 for classification of those images that are weeded out (as unusable, almost-duplicates, etc.)	
11.1.012	Student and Alumni Surveys/Questionnaires		AC+3		URRS-248 AC = Final disposition of summary report. CAUTION: See URRS 17.1.019 for course-instructor surveys.	

Retention Codes (field 7)

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

Retention Codes (Field 7)

FE – Fiscal year end
 LA – Life of Asset
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 US – Until Superseded

Archival Codes (Field 10)

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Records Series Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
11.1.013	Subject Files - Executive	This series documents the executive actions of a state university. The series includes information in the form of correspondence and memoranda, policy statements, organization and program development records, reports concerning accreditation requirements, budget material, faculty and student relations, personnel matters, tenure and salary issues, physical plant development, grant awards, research programs, foundation endowments, fiscal accountability, academic requirements, student athletic issues, and other related topics. These records reflect administration of policies, coordination of institution functions, and overall management of major divisions and departments of a state university.	4	I	URRS-2	

Retention Codes (field 7) AC – See event trigger for specific records series definition AV – Administratively valuable CE – Calendar year end	FE – Fiscal year end LA – Life of Asset PM – Permanent US – Until Superseded	Archival Codes (Field 10) A/I – Transfer to State/University Archivist R/O – Review by State/University Archivist
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Records Series Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
11.1.014	Subject Files - Media and Communications	This series provides background information on institutional faculty and staff, buildings, events, traditions, and other special topics that document a university's history and culture. The records may be used to support research, responses to inquiries, and other purposes. This series may include but is not limited to: newspaper clippings; photographs; published and unpublished historical sketches; pamphlets; statistics; ephemera; biographical sketches; vitae; photographs; personal history data sheets; newspaper clippings; retirement notices; funeral programs; obituaries; and related documentation and correspondence.	AV	O	URRS-10 See RRS 1.1.019 for press releases. See RRS 1.1.020/1.1.021 for Public Information Requests.	

Retention Codes (field 7) AC – See event trigger for specific records series definition AV – Administratively valuable CE – Calendar year end	FE – Fiscal year end LA – Life of Asset PM – Permanent US – Until Superseded	Archival Codes (Field 10) A/I – Transfer to State/University Archivist R/O – Review by State/University Archivist
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Records Series Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
11.1.015	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	0	<p>URRS-23</p> <p>CAUTION: Federal or state regulations may require longer retention periods (for example, radiation committee meeting records must be retained permanently). The university must consider any applicable federal or state regulations in establishing a retention period for each committee's records.</p> <p>CAUTION: See URRS 11.1.008 (External Committee Records) for meeting records of external committees.</p>	

<p>Retention Codes (field 7)</p> <p>AC – See event trigger for specific records series definition AV – Administratively valuable CE – Calendar year end</p>	<p>FE – Fiscal year end LA – Life of Asset PM – Permanent US – Until Superseded</p>	<p>Archival Codes (Field 10)</p> <p>A/I – Transfer to State/University Archivist R/O – Review by State/University Archivist</p>
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Records Series Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
11.1.016	University and Academic Leadership Meeting Records	This series documents the meetings of the faculty and/or staff of a college, department, or office that sets policy and procedures for the unit. Participants at meetings may be composed exclusively of a mixture of faculty, staff, administrators, and managers; specialized and task oriented sub-committees composed of unit personnel are also documented as part of this record series. These meetings may concern routine matters of procedure and topics such as program development, planning, administrative and personnel management, and assessments of future needs. This series may include but is not limited to: official meeting notes/minutes; reports; and agendas.	4	O	URRS-13	

<p>Retention Codes (field 7)</p> <p>AC – See event trigger for specific records series definition</p> <p>AV – Administratively valuable</p> <p>CE – Calendar year end</p>	<p>FE – Fiscal year end</p> <p>LA – Life of Asset</p> <p>PM – Permanent</p> <p>US – Until Superseded</p>	<p>Archival Codes (Field 10)</p> <p>A/I – Transfer to State/University Archivist</p> <p>R/O – Review by State/University Archivist</p>
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Category 12: University Personnel Records

Section 12.1 – Employee Records

12.1.001	Faculty Appointment, Promotion, and Tenure Records	Evaluations, recommendations, and similar documentation relating to the review process for promotion and tenure for all faculty or staff in the tenure track.	AC+5		<p>URRS-57 AC = Termination of employment. CAUTION: For records of staff employee recognition, see RRS 3.1.037. CAUTION: Institutions should determine whether these materials possess archival value.</p>	29 CFR 1602.49, 29 CFR 1602.49(a).
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<p>Retention Codes (field 7) AC – See event trigger for specific records series definition AV – Administratively valuable CE – Calendar year end</p>	<p>FE – Fiscal year end LA – Life of Asset PM – Permanent US – Until Superseded</p>	<p>Archival Codes (Field 10) A/I – Transfer to State/University Archivist R/O – Review by State/University Archivist</p>
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12.1.002	International Scholars Records - J-1 Exchange Visitor Files	This series documents the short-term appointment of nonimmigrant international scholars as visiting faculty, specialists, researchers, and trainees. This series may include but is not limited to: Form DS-2019, Certificate of Eligibility for Exchange Visitor (J-1) Status; descriptions of work to be performed; methods of financial support; copies of passports; check-in forms with personal data such as addresses, telephone numbers, and information concerning dependents; related correspondence, most often concerning eligibility of spouses and children to accompany or join the scholar; log sheets noting the nature of telephone calls concerning each scholar's status; and related documentation.	AC+3		URRS-58 AC = End of participation in program.	22 CFR 62.10(h).
12.1.003	International Scholars Records – Immigrant Petition File	Includes documentation of an institution's sponsorship of an applicant using United States Citizenship and Immigration Services (USCIS) Form I-140 (Immigrant Petition for Alien Worker).	AC+5		URRS-393 AC = Date applicant granted lawful permanent residence by USCIS or no longer employed by the institution, whichever is earlier.	

Retention Codes (field 7)

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

FE – Fiscal year end

LA – Life of Asset
 PM – Permanent
 US – Until Superseded

Archival Codes (Field 10)

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

12.1.004	International Scholars Records – Labor Certification (PERM)	This series documents the application and approval of international scholars for permanent immigrant status. This series may include but is not limited to: Application for Permanent Employment Certifications (Department of Labor (DOL) Form ETA 9089); Application for Alien Employment Certification (DOL Form ETA 750); recruitment reports; copy of job advertisement in national professional journal; wage determinations; and related materials.	AC+5		URRS-59 AC = Date of filing the 'Application for Permanent Employment Certification' (Form ETA 9089).	20 CFR 656.10(f), 29 CFR 1602.49(a), 29 CFR 1602.49(a), 29 CFR 1602.49.
12.1.005	International Scholars Records – Nonimmigrant Visa Petition File	Includes both internal documents and forms submitted to the U.S. Citizenship and Immigration Services (USCIS), including Form I-129, Petition for a Nonimmigrant Worker.	AC+1		URRS-392 AC = Date individual no longer employed by the institution in sponsored nonimmigrant status.	
12.1.006	International Scholars Records – Nonimmigrant Visa Public Inspection File	This series documents the temporary employment of international exchange visitors (non-immigrants) by the institution and is used to monitor compliance with federal United States Citizenship and Immigration Services (USCIS) regulations. Includes Labor Condition Application (DOL Form 9035/9035E), wage rate documentation, benefits summaries, and related materials for H-1B, H-1B1, and E-3 visas.	AC+1		URRS-60 AC = Last date the institution employs any individual in H-1B nonimmigrant status under the Labor Condition Application for which the Public Inspection File was created or, if no non-immigrants were employed under the labor condition application, one year from the date the labor condition application expired or was withdrawn.	20 CFR 655.760(c).

Retention Codes (field 7)

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

FE – Fiscal year end

LA – Life of Asset
 PM – Permanent
 US – Until Superseded

Archival Codes (Field 10)

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12.1.007	Tax Documentation for International Scholars	This series documents international students' and scholars' acquisition of social security numbers. This series may include but is not limited to: social security number applications; Statement of Information - Social Security Account Number forms (CO-204); photocopies of social security cards; Controllers Division reports; and related documentation and correspondence.	AC+3		URRS-54 AC = Date of application.	
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Section 12.2 – Personnel Administration

Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
12.2.001	International Scholars Program Administration Records	This series documents a program which allows one or more visiting scholars to assume residence on campus for an academic year or a shorter duration. This series may include but is not limited to: advertisements; applicant data; arrangements and schedules; publicity and news clippings; presentation transcripts or published works; scholars' vitae; scholars' activities documentation including audio recordings; and related documentation and correspondence.	3		URRS-66	22 CFR 62.10(h).

Retention Codes (field 7)

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

FE – Fiscal year end

LA – Life of Asset

PM – Permanent

US – Until Superseded

Archival Codes (Field 10)

A/I – Transfer to State/University Archivist

R/O – Review by State/University Archivist

Section 12.3 – Time and Leave

Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
12.3.001	Time Cards and Time Sheets - Work-Study Students	This series documents hours worked by work-study student employees. The series is used for payroll purposes and to meet federal requirements for documenting time worked by work-study students. This series may include but is not limited to: Work-Study Time Certificates; referrals; time cards; and time sheets.	AC+3		URRS-67 AC = End of award year for which the aid was awarded and disbursed. See RRS 3.4.006 for all other time cards and time sheets, including those of non-work-study student employees.	34 CFR 668.24(e)(1), 34 CFR 675.19(b).

Retention Codes (field 7)

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

FE – Fiscal year end

LA – Life of Asset
 PM – Permanent
 US – Until Superseded

Archival Codes (Field 10)

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

Category 13: University Fiscal Records

Section 13.1 – Worksheets, Detail Information on Financial Event or Transaction

Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
13.1.001	Ticket Sales Records - Other	This series documents the printing, selling, distribution, and accounting of tickets for university-sponsored performing arts and other non-athletic events where tickets are sold for admission. This series may include but is not limited to: ticket stock orders; ticket type reports; ticket purchase manifest forms; box office balance sheets; ticket printing and control records; season ticket sales lists; receipts and orders for mail, phone, or in-person purchase of tickets; ticket sales summary sheets and reports; free ticket sign-up sheets; lists and reports of free tickets distributed to patrons, contributors, and others; deposit receipts; and related documentation and correspondence.	FE+3		URRS-71	

Retention Codes (field 7)

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

FE – Fiscal year end
 LA – Life of Asset
 PM – Permanent
 US – Until Superseded

Archival Codes (Field 10)

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

Section 13.2 – Other Fiscal

Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
13.2.001	Donor Files	Includes individual donor and prospective donor files.	AC	I	<p>URRS-344</p> <p>AC = Prospect ceases to be viable.</p> <p>CAUTION: Includes donor or prospective donor information only. For records of gifts, see URRS 13.2.005 (Gift Records - Institutional) and URRS 13.2.004 (Gift Records - Department or Program).</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>	

Retention Codes (field 7)

AC – See event trigger for specific records series definition
 AV – Administratively valuable
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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

Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
13.2.002	Fundraising Records	This series documents institutional efforts to raise funds to support program functions and facilities. This series may include but is not limited to: requests for fund-raising; gift history reports; background on previous donations; pledges; and related documentation and correspondence.	7		<p>URRS-33</p> <p>CAUTION: Does not include financial records. See URRS 13.2.004 (Gift Records - Department or Program) or URRS 13.2.005 (Gift Records - Institutional).</p> <p>CAUTION: For donor files, see URRS 13.2.001 (Donor Files). For event administration records, see URRS 11.1.006 (Event Administration - Routine) and URRS 11.1.007 (Event Administration - University Special Events). For public relations records, see RRS 1.1.019.</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>	
13.2.003	Gift Records - Class and Alumni	This series provides a record of gifts given to the institution by graduating or alumni classes. This series may include but is not limited to: gift lists; gift histories; a record of gift placement arrangements; and related documentation and correspondence.	5	1	<p>URRS-34</p> <p>See URRS 13.2.005 for records documenting potential or realized funding to the institution such as endowments and trusts.</p>	

Retention Codes (field 7)

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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
13.2.004	Gift Records - Department or Program	This series documents potential or realized private, corporate, or public agency funding to a department or program, including endowments, trusts, and funds raised by support/"friends" groups. This series comprises award guidelines, memoranda of understanding, records of fund disbursements, and related documentation and correspondence.	7		URRS-75 CAUTION: For records of major gifts, see URRS 13.2.005 (Gift Records - Institutional). For donor files, see URRS 13.2.001 (Donor Files). For ongoing contracts and agreements, see RRS 5.1.001.	
13.2.005	Gift Records - Institutional	This series documents potential or realized private, corporate, or public agency funding to the institution, including endowments and trusts. This series includes letters and agreements of gift, copies of bequest instruments and wills from individuals or estates, and related documentation and correspondence.	PM	I	URRS-76 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.	
13.3.005	Gift Records - Medical	This records series consists of completed bequeathal forms and cadaver information for people who have donated their bodies, organs, or tissues to the institution.	PM		URRS-345	
13.3.006	Non-Federal Grant Records	This series documents grants and contracts from private foundations or non-federal government agencies awarded to faculty, staff and graduate assistants. Information includes name of project, award notification, contract number, and other related information.	AC+3		URRS-77 AC = Satisfaction of the grant according to its terms.	Circular A-110, 31 U.S.C. 503, 31 U.S.C. 1111, 41 U.S.C. 405.

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Archival Codes (Field 10)

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Category 14: University Support Services Records

Section 14.1 – Risk Management

Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
14.1.001	Carcinogenic Compounds Research Use Records - Administrative	This series documents the administration of the use of hazardous carcinogenic compounds by institutional researchers. This series may contain but is not limited to: research protocols; applications for use of Class B & C chemical carcinogens; chemical carcinogen animal care requirement forms; lists of personnel involved in laboratory contact with chemical carcinogens; list of carcinogenic compounds to be used in the specific research project; project and departmental lists of chemical inventories; lists of persons involved in the research project; and related documentation and correspondence.	AC+30		URRS-94 AC = Separation from the university.	29 CFR 1910.1020(d), Health and Safety Code, Section 502.005(d).
14.1.002	Radiation Safety Committee Records	This series documents the establishment of policy and procedure by the committee. Records include: agendas; minutes; reports; notes; working papers and related correspondence.	PM	O		

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Category 15: Student Records

Section 15.1 – Admissions and Assessment

Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
15.1.001	Admissions Records - Enrolled/Accepted	This series documents the application process for individuals seeking admission to the institution. This series may include but is not limited to: acceptance letters; applications for admission; entrance exam reports; letters of recommendation; medical records; readmission forms; recruitment materials; test scores; residency classification forms; transcripts from other colleges; transcripts from high school; and related correspondence. International student admissions records are included in this series.	AC+3		<p>URRS-108</p> <p>AC = Graduation or date of last attendance.</p> <p>CAUTION: International student academic records must be retained at least 1 year after final notice to USCIS.</p> <p>CAUTION: See URRS 12.1.002 and URRS 12.1.004 for additional retention requirements for International student records.</p>	
15.1.002	Admissions Records - Not Enrolled/Denied	This series documents the application process for individuals seeking admission to the institution. This series may include but is not limited to: acceptance letters; applications for admission; entrance exam reports; letters of recommendation; medical records; readmission forms; recruitment materials; test scores; residency classification forms; transcripts from other colleges; transcripts from high school; and related correspondence.	AC+1		<p>URRS-109</p> <p>AC = End of application term.</p> <p>CAUTION: International student academic records must be retained at least 1 year after final notice to USCIS.</p> <p>CAUTION: See URRS 12.1.002 and URRS 12.1.004 for additional retention requirements for International student records.</p>	

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Archival Codes (Field 10)

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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
15.1.003	International Student Records - Enrolled/Accepted	This series documents nonacademic institution assistance to international students who have been admitted to academic programs. These records primarily concern institution admissions, immigration issues, and other nonacademic matters. This series may include but is not limited to: copies of visas; scholarship information; institution admissions forms; graduate school applications; transcripts of previous college work; grade reports of prior college work; grade reports from institutional courses; international student advisors' notes; degree completion certificates; explanations for student withdrawals; recommendations and evaluations of students; and related documentation and correspondence.	AC+3		URRS-180 AC = Graduation or date of last attendance. CAUTION: Must be retained at least 1 year after final notice to USCIS.	8 CFR 214.3(g).
15.1.004	International Student Records - Not Enrolled/Denied	This series documents institution assistance to international students who are considering attendance at the institution. This series may include but is not limited to: letters of inquiry from prospective students; official replies to inquiries; completed applications and admittance forms; local data sheets; advisory notes; and related documentation and correspondence.	2		URRS-105	

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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
15.1.005	National Board of Medical Examiners Test Scores	Test scores for medical students given by the National Board of Medical Examiners (NBME). Records may also contain test scores from state or local board certifying agencies.	PM		URRS-359	
15.1.006	National Exams - Test Administration Records	This series provides a record of the services rendered to clients by administering tests required of students seeking admission to various programs or seeking to substitute already acquired knowledge for formal college courses. Tests administered include Scholastic Aptitude (SAT); American College (ACT); Graduate Record Examination (GRE); Medical School Admission (MCAT); Pharmacy School Admission (PCAT); Business School Admission (GMAT); National Teacher Education (NTE); Veterinary College Admission Test (VCAT); and Test of English as a Foreign Language (TOEFL). This series may include but is not limited to: testing rules and regulations; rosters of test takers; seating charts; supervisors' reports; and vouchers for payment of testing. This series does not include test scores.	FE+3		URRS-106	

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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
15.1.007	Residency Affidavits and Documentation	This series documents declarations filed by students regarding state residency status which is critical for determining tuition status. This series may include but is not limited to: affidavits; correspondence regarding residency; and related documentation.	AC+6		URRS-103 AC = Date of submission. Not for residency classification forms submitted by applicants as part of the admissions process. See URRS 15.1.001 and URRS 15.1.002.	Texas Education Code, Section 54.052.

Section 15.2 – Academic Records

Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
15.2.001	Academic Action Authorizations	Authorizations for academic actions, such as academic probation, suspensions, dismissals, reinstatements, etc.	AC+3		URRS-172 AC = Graduation or date of last attendance. CAUTION: See URRS 15.5.007 for disciplinary action records.	
15.2.002	Advanced Placement and Credit Records - Awarded	Transfer credit evaluations, national or state standardized test scores and reports (e.g., CLEP, AP, Departmental, IB, SAT II), credit by examination authorizations and reports, military course documentation (e.g., DSST, USAFI) and evaluations, non-traditional transcripts and credentials, life experience records, requests for advanced credit, and similar documentation used by a university to evaluate and determine award of credit by advanced placement.	AC+3		URRS-355 AC = Graduation or date of last attendance.	

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Archival Codes (Field 10)

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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
15.2.003	Advanced Placement and Credit Records - Not Awarded	Transfer credit evaluations, national or state standardized test scores and reports (e.g., CLEP, AP, Departmental, IB, SAT II), credit by examination authorizations and reports, military course documentation (e.g., DSST, USAFI) and evaluations, non-traditional transcripts and credentials, life experience records, requests for advanced credit, and similar documentation used by a university to evaluate and determine award of credit by advanced placement.	AC+1		URRS-358 AC = End of academic year in which decision made.	
15.2.004	Applications for Admission to Program - Enrolled/Accepted	This series includes applications for admission to programs with admissions requirements separate and beyond those of the institution.	AC+2		URRS-102 AC = Student separation from the department or institution. CAUTION: Not to be used for records of admissions to the institution. See URRS 15.1.001 and URRS 15.1.002.	
15.2.005	Applications for Admissions to Program - Not Enrolled/Denied	This series includes applications for admission to programs with admissions requirements separate and beyond those of the institution.	AC+1		URRS-101 AC = End of application term. CAUTION: Not to be used for records of admissions to the institution. See URRS 15.1.001 and URRS 15.1.002.	
15.2.006	Class Schedules of Students	This series provides a list of the classes registered for by an individual student for a particular semester.	AV		URRS-132	

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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
15.2.007	Course Registration and Status Records	Registration forms, class rosters, and similar records providing information on which courses student are registered for at the beginning of an academic term, including documentation evidencing the conditions under which courses are undertaken (e.g., audit, pass/fail, and credit/no credit authorizations or approvals) or evidencing changes to registration status during the term (e.g., add/drop forms by student or instructor).	AV		URRS-135 CAUTION: Not to be confused with withdrawal records. See URRS 15.2.035.	
15.2.008	Curriculum Change Authorizations	This series documents student requests to change their field of major study, add or remove a simultaneous major, or add or change a minor.	AV		URRS-131	
15.2.009	Departmental Student Information Files	This series provides up-to-date information on student's activity from point of enrollment to graduation or date of last attendance. This series may include but not limited to: personal data, activity reports, graduate student qualifying examinations, copies of placement tests, copies of partial transcripts, correspondence, evidence of graduation or last date of attendance, and related information.	AC+3		URRS-112 AC = Student separation from the department or institution. See URRS 15.2.026 for student advising records. CAUTION: International student academic records must be retained at least 1 year after final notice to USCIS. CAUTION: See URRS 12.1.002 and URRS 12.1.004 for additional retention requirements for International student records.	

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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
15.2.010	Enrollment Census Reports (4th and 12th Class Day Rosters)	Attendance reports prepared by faculty on class census day and used as source documentation for enrollment reports submitted to the Texas Higher Education Coordinating Board (THECB).	FE+3		URRS-357	
15.2.011	Faculty Grade Book	Record of students in the course and work completed. Includes computer and non-computer-generated grade sheets, and other such materials that permit a reconstruction of a student's graded performance in a course.	AC		URRS-110 AC = Expiration of grade appeal period. CAUTION: Records Management Officers should ascertain university policy on contesting grades when establishing a plan for the destruction of departmental copies.	
15.2.012	Grade Change Records	This series documents grade changes submitted by instructors through the academic departments to the Registrar.	PM		URRS-118 CAUTION: Records Management Officers should ascertain university policy on contesting grades when establishing a plan for the destruction of departmental copies.	
15.2.013	Grade Reports (Report Cards to Students)	The series documents grades received by students for the term. This is the record copy of reports distributed to students at the end of each term. Individual forms include: course numbers and titles; grades awarded; grade point average; student name; and social security number or student ID number.	AC+1		URRS-126 AC = Date distributed.	

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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
15.2.014	Graduation - Applications	Student applications for graduation.	AC+1		URRS-353 AC = Graduation or last date of attendance.	
15.2.015	Graduation - Degree Audit and Authorizations	This series documents student completion of degree requirements, including authorizations certifying completion of degree requirements. The series may include but is not limited to: official graduation audit forms that list students' names; colleges; majors; degrees; minors; the breakdown of institutional degree requirements and how the applicants have fulfilled them; grade point averages; deans' recommendations/comments and signatures; and comprehensive examinations.	AC+3		URRS-114 AC = Graduation or date of last attendance.	
15.2.016	Graduation - Diploma Administration Records	This series includes records of diplomas picked up in person, mailed, and returned.	AC+1		URRS-128 AC = Request fulfilled.	
15.2.017	Hazlewood Act Documentation	This series documents eligibility to claim the Hazlewood exemption and institutional records to track benefit hours claimed.	PM		URRS-360 See URRS 15.2.033 for Veterans Affairs Certification Records and URRS 15.2.034 for all other records pertaining to the entitlement status and enrollment of veterans in the institution.	19 TAC 21.85, 19 TAC 21.54.

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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
15.2.018	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		URRS-501 AC = Date loan denied. See URRS 15.2.033 for Veterans Affairs Certification Records and URRS 15.2.034 for all other records pertaining to the entitlement status and enrollment of veterans in the institution.	Texas Education Code Section 54.241, 19 TAC 21.85.
15.2.019	Holds and Encumbrances	Documents used to place and remove holds on registration, student services, or the release of transcripts or other academic data until the subject of the hold/encumbrance takes a specific action.	AC		URRS-116 AC = Date of release.	
15.2.020	Independent Study Records	This series documents departmental approval for students to enroll in independent study courses. This series may include but is not limited to: permission sheets with students' names; course names; number of credits; and faculty signatures.	AC+2		URRS-125 AC = Student separation from the department or institution.	
15.2.021	Internship Applications -- Not Enrolled/Denied	Applications for internship programs for which student was denied or did not enroll.	AC+1		URRS-386 AC = End of academic term in which internship occurred. See URRS 15.2.022 for other internship program records.	

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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
15.2.022	Internship Program Records	This series is used to provide a record of the administration of student internship, practicum and cooperative education programs. Programs may be within the institution or off campus and for class credit and/or pay. This series may include but is not limited to: applications for internships inside and external to the institution; agreements with departments; postings/notices; student resumes; transcripts; copies of contracts; proposed institution listings; notes; and related documentation and correspondence.	AC+5		URRS-124 AC = End of academic term in which internship occurred. See URRS 15.2.021 for internship applications for which student was denied or did not enroll.	
15.2.023	Name Change Records	This series documents student or applicant name changes reported to the admissions or registrar's offices by students. This series may include but is not limited to: letters requesting change in name; name change authorizations; and related documentation and correspondence.	AV		URRS-123 For other personal data update records (change of address forms, race/ethnicity questionnaires, and requests and authorizations to change other demographic data), see URRS 15.2.025.	
15.2.024	Original Grade Sheets	The series reflects grades awarded by instructors and serves as the basis for students' official academic records. Also called Permanent Record Cards, Grade Cards, Grade Sheets. This series may include but not limited to: student names and social security numbers or ID numbers; course titles and numbers; sections; grades awarded; and instructors' signatures.	PM		URRS-133 CAUTION: This retention period applies to records of the Registrar. Departmental copies of grade sheets are convenience copies.	

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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
15.2.025	Personal Data Update Records	Change of address forms, race/ethnicity questionnaires, requests and authorizations to change other demographic data, and similar source documentation used to update personal data information on transcripts or other student records.	AC+1		URRS-356 AC = Date of change. For name change records, see URRS 15.2.023.	
15.2.026	Student Advising Records	This series includes records of academic advisement to students. Series may include advisors' notes, advising checklists, and convenience copies of grade records maintained by registrars.	AC+3		URRS-171 AC = Student separation from the department or institution.	
15.2.027	Student Certification Records - Academic	This series documents student completion of certificate programs offered by university academic programs.	AC+5		URRS-352 AC = Graduation or date of last attendance. CAUTION: Transcript notes regarding academic certifications awarded are maintained permanently by the Registrar. See URRS 15.2.028 for professional certification records (e.g., teacher certification records).	

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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
15.2.028	Student Certification Records - Professional	This series documents the preparation of students earning degrees and/or certification for licenses or certificates to enter a profession (e.g., teaching certificates) and forms the basis of the initial certification by external entities for various professions. This series may include but is not limited to: applications for admission to a program; registration for practicum hours and evidence of the completion of the practicum; transcripts; narrative evaluations on practicum; notice of completion of hours required for certification; recommendations and evaluations; and related correspondence.	AC+1		URRS-129 AC = End of certification period. CAUTION: Accrediting agencies may require longer retention periods for professional certification records. Refer to accrediting agency to determine the term of the certification period. See URRS 15.2.027 for records of academic certifications.	
15.2.029	Student Coursework	This series documents student subject mastery in institution courses. This series may include but is not limited to: examinations and answers; quizzes and answers; homework assignments; course papers; term papers; and essay assignments.	AC+1		URRS-127 AC = End of academic term. CAUTION: Coursework under dispute may not be destroyed until the resolution of the dispute. CAUTION: See URRS 15.2.015 for comprehensive examinations. See URRS 15.2.009 for graduate student qualifying examinations.	

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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
15.2.030	Thesis and Dissertation Records	This series documents the completion and academic acceptance of graduate theses and dissertations presented to colleges in fulfillment of requirements for graduate degrees. This series includes final and accepted copies of theses and dissertations.	PM	I	URRS-117	
15.2.031	Transcript Requests	Requests for transcripts to be provided to student or sent to other institutions.	AV		URRS-115	
15.2.032	Transcripts	Transcript, or a record equivalent in function, of the academic achievement of each enrolled student, documenting courses taken, credits granted, grades received, and any degrees or certifications awarded (including any narrative assessments or evaluations prepared in lieu of an assigned grade).	PM		URRS-122	
15.2.033	Veterans Affairs Certification Records	This series documents institutional submission of Certification of Enrollment reports required by the U.S. Department of Veterans Affairs (VA).	AC+3		URRS-361 AC = Date of last period certified. See URRS 15.2.017 for Hazlewood Act documentation and URRS 15.2.034 for all other records pertaining to the entitlement status and enrollment of veterans in the institution.	38 CFR 21.4209(f), US Department of Veterans Affairs School Certifying Official Handbook.

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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
15.2.034	Veterans Records	This series documents the entitlement status and enrollment of veterans in the institution. This series may include but is not limited to: individual veteran student records that certify to the U.S. Department of Veterans Affairs (VA) that the student is eligible for educational benefits, is currently enrolled at the institution in a qualifying curriculum, and is maintaining standards required to receive entitlements; veterans attendance reports; and related forms, documentation and correspondence.	AC+3		URRS-113 AC = Graduation or date of last attendance. See URRS 15.2.017 for Hazlewood Act documentation and URRS 15.2.033 for records of U.S. Department of Veterans Affairs certification.	38 CFR 21.4209.
15.2.035	Withdrawal Forms and Authorizations	Requests and authorizations for a student to withdraw from classes after calendar deadlines without academic penalty for reasons acceptable to a university.	AV		URRS-134	

Section 15.3 – Financial Aid and Scholarship Records

Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
15.3.001	Fee Assessment Forms	This series documents the payment of fees for course fees, lab time, diplomas, commencement exercises, etc.	AC+5		URRS-150 AC = Graduation or date of last attendance.	

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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
15.3.002	Financial Aid Application and Award Records - All Local Grant, Scholarship, Loan, or Work-Study Programs	Including (to the extent applicable to specific programs): applications; financial aid need analysis and eligibility forms; financial aid transcripts; selective service registration compliance statements and any supporting documentation; statements of educational purpose; anti-drug abuse statements; Student Aid Report (SAR) or Institutional Student Information Report (ISIR); authorization and award forms; copies of documents submitted by students or parents for verification of student aid application information; and similar records relating to the application for and award of grants, scholarships, loans, veterans education benefits, or opportunities to participate in work-study programs. Includes records of recipients of all local grants, scholarships, loans, or work-study.	AC+3		URRS-369 AC = End of the award period.	

Retention Codes (field 7) AC – See event trigger for specific records series definition AV – Administratively valuable CE – Calendar year end	FE – Fiscal year end LA – Life of Asset PM – Permanent US – Until Superseded	Archival Codes (Field 10) A/I – Transfer to State/University Archivist R/O – Review by State/University Archivist
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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
15.3.003	Financial Aid Application and Award Records - All Other Federal or State Loan Programs	Including (to the extent applicable to specific programs): applications; financial aid need analysis and eligibility forms; financial aid transcripts; selective service registration compliance statements and any supporting documentation; statements of educational purpose; anti-drug abuse statements; Student Aid Report (SAR) or Institutional Student Information Report (ISIR); authorization and award forms; copies of documents submitted by students or parents for verification of student aid application information; and similar records relating to the application for and award of grants, scholarships, loans, veterans education benefits, or opportunities to participate in work-study programs. Includes records of recipients of all other federal or state loans.	AC+5		URRS-368 AC = End of the period for which the loan was intended.	

Retention Codes (field 7) AC – See event trigger for specific records series definition AV – Administratively valuable CE – Calendar year end	FE – Fiscal year end LA – Life of Asset PM – Permanent US – Until Superseded	Archival Codes (Field 10) A/I – Transfer to State/University Archivist R/O – Review by State/University Archivist
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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
15.3.004	Financial Aid Application and Award Records - All Other Federal or State Grant, Scholarship, and Work-Study Programs	Including (to the extent applicable to specific programs): applications; financial aid need analysis and eligibility forms; financial aid transcripts; selective service registration compliance statements and any supporting documentation; statements of educational purpose; anti-drug abuse statements; Student Aid Report (SAR) or Institutional Student Information Report (ISIR); authorization and award forms; copies of documents submitted by students or parents for verification of student aid application information; and similar records relating to the application for and award of grants, scholarships, loans, veterans education benefits, or opportunities to participate in work-study programs. Includes records of recipients of all other federal or state grant, scholarship, and work-study programs.	AC+5		URRS-367 AC = End of award year.	

Retention Codes (field 7) AC – See event trigger for specific records series definition AV – Administratively valuable CE – Calendar year end	FE – Fiscal year end LA – Life of Asset PM – Permanent US – Until Superseded	Archival Codes (Field 10) A/I – Transfer to State/University Archivist R/O – Review by State/University Archivist
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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
15.3.005	Financial Aid Application and Award Records - Health Profession and Nursing Student Loan Programs	Including (to the extent applicable to specific programs): applications; financial aid need analysis and eligibility forms; financial aid transcripts; selective service registration compliance statements and any supporting documentation; statements of educational purpose; anti-drug abuse statements; Student Aid Report (SAR) or Institutional Student Information Report (ISIR); authorization and award forms; copies of documents submitted by students or parents for verification of student aid application information; and similar records relating to the application for and award of grants, scholarships, loans, veterans education benefits, or opportunities to participate in work-study programs. Includes records of recipients of health profession and nursing student loan programs, including the Health Education Assistance Loan (HEAL) Program.	AC+5		URRS-365 AC = Termination of enrollment as a full-time student.	42 CFR 57.215(b), 42 CFR 57.315(a)(2), 42 CFR 60.56(b).

Retention Codes (field 7) AC – See event trigger for specific records series definition AV – Administratively valuable CE – Calendar year end	FE – Fiscal year end LA – Life of Asset PM – Permanent US – Until Superseded	Archival Codes (Field 10) A/I – Transfer to State/University Archivist R/O – Review by State/University Archivist
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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
15.3.006	Financial Aid Application and Award Records - Income Contingent Loan (ICL), Perkins Loan, Federal Work-Study, Federal Supplemental Educational Opportunity Grant (FSEOG) Programs	Including (to the extent applicable to specific programs): applications; financial aid need analysis and eligibility forms; financial aid transcripts; selective service registration compliance statements and any supporting documentation; statements of educational purpose; anti-drug abuse statements; Student Aid Report (SAR) or Institutional Student Information Report (ISIR); authorization and award forms; copies of documents submitted by students or parents for verification of student aid application information; and similar records relating to the application for and award of grants, scholarships, loans, veterans education benefits, or opportunities to participate in work-study programs. Includes records of recipients of Income Contingent Loan (ICL), Perkins Loan, Federal Work-Study (FWS), and Federal Supplemental Educational Opportunity Grant (FSEOG) Programs.	AC+3		URRS-362 AC = Submission of annual report for the award year.	34 CFR 668.24, 34 CFR 674.19(e)(3), 34 CFR 675.19(b)(1), 34 CFR 676.19(b).

Retention Codes (field 7) AC – See event trigger for specific records series definition AV – Administratively valuable CE – Calendar year end	FE – Fiscal year end LA – Life of Asset PM – Permanent US – Until Superseded	Archival Codes (Field 10) A/I – Transfer to State/University Archivist R/O – Review by State/University Archivist
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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
15.3.007	Financial Aid Application and Award Records - Non-Awarded	Including (to the extent applicable to specific programs): applications; financial aid need analysis and eligibility forms; financial aid transcripts; selective service registration compliance statements and any supporting documentation; statements of educational purpose; anti-drug abuse statements; Student Aid Report (SAR) or Institutional Student Information Report (ISIR); authorization and award forms; copies of documents submitted by students or parents for verification of student aid application information; and similar records relating to the application for and award of grants, scholarships, loans, veterans education benefits, or opportunities to participate in work-study programs. Includes records of those who applied for but did not receive financial aid.	AC+1		URRS-370 AC = End of academic period for which aid denied.	

Retention Codes (field 7) AC – See event trigger for specific records series definition AV – Administratively valuable CE – Calendar year end	FE – Fiscal year end LA – Life of Asset PM – Permanent US – Until Superseded	Archival Codes (Field 10) A/I – Transfer to State/University Archivist R/O – Review by State/University Archivist
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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
15.3.008	Financial Aid Application and Award Records - Pell Grant Program	Including (to the extent applicable to specific programs): applications; financial aid need analysis and eligibility forms; financial aid transcripts; selective service registration compliance statements and any supporting documentation; statements of educational purpose; anti-drug abuse statements; Student Aid Report (SAR) or Institutional Student Information Report (ISIR); authorization and award forms; copies of documents submitted by students or parents for verification of student aid application information; and similar records relating to the application for and award of grants, scholarships, loans, veterans education benefits, or opportunities to participate in work-study programs. Includes records of recipients of Pell Grants.	AC+5		URRS-363 AC = End of award year.	34 CFR 690.82(a).

Retention Codes (field 7) AC – See event trigger for specific records series definition AV – Administratively valuable CE – Calendar year end	FE – Fiscal year end LA – Life of Asset PM – Permanent US – Until Superseded	Archival Codes (Field 10) A/I – Transfer to State/University Archivist R/O – Review by State/University Archivist
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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
15.3.009	Financial Aid Application and Award Records - Stafford and PLUS Programs	Including (to the extent applicable to specific programs): applications; financial aid need analysis and eligibility forms; financial aid transcripts; selective service registration compliance statements and any supporting documentation; statements of educational purpose; anti-drug abuse statements; Student Aid Report (SAR) or Institutional Student Information Report (ISIR); authorization and award forms; copies of documents submitted by students or parents for verification of student aid application information; and similar records relating to the application for and award of grants, scholarships, loans, veterans education benefits, or opportunities to participate in work-study programs. Includes records of recipients of Stafford loans (formerly Guaranteed Student Loans) and PLUS Program loans.	AC+3		URRS-364 AC = End of the period for which the loan was intended.	34 CFR 682.610(a)(2), 34 CFR 668.24.

Retention Codes (field 7) AC – See event trigger for specific records series definition AV – Administratively valuable CE – Calendar year end	FE – Fiscal year end LA – Life of Asset PM – Permanent US – Until Superseded	Archival Codes (Field 10) A/I – Transfer to State/University Archivist R/O – Review by State/University Archivist
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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
15.3.010	Financial Aid Application and Award Records - Veterans Administration Education Assistance Allowances	Including (to the extent applicable to specific programs): applications; financial aid need analysis and eligibility forms; financial aid transcripts; selective service registration compliance statements and any supporting documentation; statements of educational purpose; anti-drug abuse statements; Student Aid Report (SAR) or Institutional Student Information Report (ISIR); authorization and award forms; copies of documents submitted by students or parents for verification of student aid application information; and similar records relating to the application for and award of grants, scholarships, loans, veterans education benefits, or opportunities to participate in work-study programs. Includes records of recipients of Veterans Administration educational assistance allowances.	AC+3		URRS-366 AC = Termination of enrollment.	38 CFR 21.4209(f).

Retention Codes (field 7) AC – See event trigger for specific records series definition AV – Administratively valuable CE – Calendar year end	FE – Fiscal year end LA – Life of Asset PM – Permanent US – Until Superseded	Archival Codes (Field 10) A/I – Transfer to State/University Archivist R/O – Review by State/University Archivist
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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
15.3.011	Financial Aid Disbursement and Repayment Records - All Other Federal or State Loan Programs	Including (to the extent applicable to specific programs) disbursement and repayment forms; receipts; account cards; copies of promissory notes; certifications of enrollment status or other data to grantors or lenders; cancellation, deferment, or payment extension documentation; work-study certifications and time reports; documentation of entrance and exit interviews; records of contacts concerning overdue loans; correspondence between the university and the borrower, collection agencies, and credit bureaus; and similar records relating to the disbursement of grants, veterans education benefits, and work-study funds and the disbursement and repayment of loans. Includes disbursement and repayment records of all other federal or state loan programs whose funds are administered by agencies other than the university.	AC+5		URRS-382 AC = End of the period for which the loan was intended.	

Retention Codes (field 7) AC – See event trigger for specific records series definition AV – Administratively valuable CE – Calendar year end	FE – Fiscal year end LA – Life of Asset PM – Permanent US – Until Superseded	Archival Codes (Field 10) A/I – Transfer to State/University Archivist R/O – Review by State/University Archivist
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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
15.3.012	Financial Aid Disbursement and Repayment Records - Institutionally Funded Loan Programs	Including (to the extent applicable to specific programs) disbursement and repayment forms; receipts; account cards; copies of promissory notes; certifications of enrollment status or other data to grantors or lenders; cancellation, deferment, or payment extension documentation; work-study certifications and time reports; documentation of entrance and exit interviews; records of contacts concerning overdue loans; correspondence between the university and the borrower, collection agencies, and credit bureaus; and similar records relating to the disbursement of grants, veterans education benefits, and work-study funds and the disbursement and repayment of loans. Includes disbursement and repayment records of institutionally-funded loan programs.	AC+3		URRS-381 AC = Date of final repayment or cancellation.	

Retention Codes (field 7) AC – See event trigger for specific records series definition AV – Administratively valuable CE – Calendar year end	FE – Fiscal year end LA – Life of Asset PM – Permanent US – Until Superseded	Archival Codes (Field 10) A/I – Transfer to State/University Archivist R/O – Review by State/University Archivist
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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
15.3.013	Financial Aid Disbursement and Repayment Records - All Other University-Administered Federal or State Loan Programs	Including (to the extent applicable to specific programs) disbursement and repayment forms; receipts; account cards; copies of promissory notes; certifications of enrollment status or other data to grantors or lenders; cancellation, deferment, or payment extension documentation; work-study certifications and time reports; documentation of entrance and exit interviews; records of contacts concerning overdue loans; correspondence between the university and the borrower, collection agencies, and credit bureaus; and similar records relating to the disbursement of grants, veterans education benefits, and work-study funds and the disbursement and repayment of loans. Includes disbursement and repayment records of all other federal or state loan programs whose funds are administered by the university.	AC+5		URRS-380 AC = Date of final repayment or cancellation.	

Retention Codes (field 7) AC – See event trigger for specific records series definition AV – Administratively valuable CE – Calendar year end	FE – Fiscal year end LA – Life of Asset PM – Permanent US – Until Superseded	Archival Codes (Field 10) A/I – Transfer to State/University Archivist R/O – Review by State/University Archivist
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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
15.3.014	Financial Aid Disbursement and Repayment Records - Local Grant, Scholarship, or Work-Study Programs	Including (to the extent applicable to specific programs) disbursement and repayment forms; receipts; account cards; copies of promissory notes; certifications of enrollment status or other data to grantors or lenders; cancellation, deferment, or payment extension documentation; work-study certifications and time reports; documentation of entrance and exit interviews; records of contacts concerning overdue loans; correspondence between the university and the borrower, collection agencies, and credit bureaus; and similar records relating to the disbursement of grants, veterans education benefits, and work-study funds and the disbursement and repayment of loans. Includes disbursement and repayment records of local grant, scholarship, or work-study programs.	AC+3		URRS-379 AC = End of award year.	

Retention Codes (field 7) AC – See event trigger for specific records series definition AV – Administratively valuable CE – Calendar year end	FE – Fiscal year end LA – Life of Asset PM – Permanent US – Until Superseded	Archival Codes (Field 10) A/I – Transfer to State/University Archivist R/O – Review by State/University Archivist
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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
15.3.015	Financial Aid Disbursement and Repayment Records - All Other Federal or State Grant, Scholarship, or Work-Study Programs	Including (to the extent applicable to specific programs) disbursement and repayment forms; receipts; account cards; copies of promissory notes; certifications of enrollment status or other data to grantors or lenders; cancellation, deferment, or payment extension documentation; work-study certifications and time reports; documentation of entrance and exit interviews; records of contacts concerning overdue loans; correspondence between the junior college and the borrower, collection agencies, and credit bureaus; and similar records relating to the disbursement of grants, veterans education benefits, and work-study funds and the disbursement and repayment of loans. Includes disbursement and repayment records of all other federal or state grant, scholarship, or work-study programs.	AC+5		URRS-378 AC = End of award year.	

Retention Codes (field 7) AC – See event trigger for specific records series definition AV – Administratively valuable CE – Calendar year end	FE – Fiscal year end LA – Life of Asset PM – Permanent US – Until Superseded	Archival Codes (Field 10) A/I – Transfer to State/University Archivist R/O – Review by State/University Archivist
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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
15.3.016	Financial Aid Disbursement and Repayment Records - Veterans Administration Educational Assistance Allowances	Including (to the extent applicable to specific programs) disbursement and repayment forms; receipts; account cards; copies of promissory notes; certifications of enrollment status or other data to grantors or lenders; cancellation, deferment, or payment extension documentation; work-study certifications and time reports; documentation of entrance and exit interviews; records of contacts concerning overdue loans; correspondence between the junior college and the borrower, collection agencies, and credit bureaus; and similar records relating to the disbursement of grants, veterans education benefits, and work-study funds and the disbursement and repayment of loans. Includes disbursement and repayment records of Veterans Administration educational assistance allowances.	AC+3		URRS-377 AC = Termination of enrollment.	38 CFR 21.4209(f).

Retention Codes (field 7) AC – See event trigger for specific records series definition AV – Administratively valuable CE – Calendar year end	FE – Fiscal year end LA – Life of Asset PM – Permanent US – Until Superseded	Archival Codes (Field 10) A/I – Transfer to State/University Archivist R/O – Review by State/University Archivist
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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
15.3.017	Financial Aid Disbursement and Repayment Records - Health Education Assistance Loan (HEAL) Program	Including (to the extent applicable to specific programs) disbursement and repayment forms; receipts; account cards; copies of promissory notes; certifications of enrollment status or other data to grantors or lenders; cancellation, deferment, or payment extension documentation; work-study certifications and time reports; documentation of entrance and exit interviews; records of contacts concerning overdue loans; correspondence between the university and the borrower, collection agencies, and credit bureaus; and similar records relating to the disbursement of grants, veterans education benefits, and work-study funds and the disbursement and repayment of loans. Includes disbursement and repayment records of Health Education Assistance Loan (HEAL) Program.	AC+5		URRS-376 AC = Termination of enrollment as a full-time student.	42 CFR 60.56(b).

Retention Codes (field 7) AC – See event trigger for specific records series definition AV – Administratively valuable CE – Calendar year end	FE – Fiscal year end LA – Life of Asset PM – Permanent US – Until Superseded	Archival Codes (Field 10) A/I – Transfer to State/University Archivist R/O – Review by State/University Archivist
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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
15.3.018	Financial Aid Disbursement and Repayment Records - Health Profession and Nursing Student Loan Programs	Including (to the extent applicable to specific programs) disbursement and repayment forms; receipts; account cards; copies of promissory notes; certifications of enrollment status or other data to grantors or lenders; cancellation, deferment, or payment extension documentation; work-study certifications and time reports; documentation of entrance and exit interviews; records of contacts concerning overdue loans; correspondence between the university and the borrower, collection agencies, and credit bureaus; and similar records relating to the disbursement of grants, veterans education benefits, and work-study funds and the disbursement and repayment of loans. Includes disbursement and repayment records of health profession and nursing student loan programs [excluding the Health Education Assistance Loan (HEAL) Program].	AC+5		URRS-375 AC = Date of retirement of loan.	42 CFR 57.215(c), 42 CFR 57.315(a)(3).

Retention Codes (field 7) AC – See event trigger for specific records series definition AV – Administratively valuable CE – Calendar year end	FE – Fiscal year end LA – Life of Asset PM – Permanent US – Until Superseded	Archival Codes (Field 10) A/I – Transfer to State/University Archivist R/O – Review by State/University Archivist
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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
15.3.019	Financial Aid Disbursement and Repayment Records - Stafford and PLUS Programs	Including (to the extent applicable to specific programs) disbursement and repayment forms; receipts; account cards; copies of promissory notes; certifications of enrollment status or other data to grantors or lenders; cancellation, deferment, or payment extension documentation; work-study certifications and time reports; documentation of entrance and exit interviews; records of contacts concerning overdue loans; correspondence between the university and the borrower, collection agencies, and credit bureaus; and similar records relating to the disbursement of grants, veterans education benefits, and work-study funds and the disbursement and repayment of loans. Includes disbursement and repayment records of Stafford (formerly Guaranteed Student Loan) and PLUS Programs.	AC+5		URRS-374 AC = End of the period for which loan was intended.	34 CFR 682.610(a)(2).

Retention Codes (field 7) AC – See event trigger for specific records series definition AV – Administratively valuable CE – Calendar year end	FE – Fiscal year end LA – Life of Asset PM – Permanent US – Until Superseded	Archival Codes (Field 10) A/I – Transfer to State/University Archivist R/O – Review by State/University Archivist
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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
15.3.020	Financial Aid Disbursement and Repayment Records - Pell Grant Program	Including (to the extent applicable to specific programs) disbursement and repayment forms; receipts; account cards; copies of promissory notes; certifications of enrollment status or other data to grantors or lenders; cancellation, deferment, or payment extension documentation; work-study certifications and time reports; documentation of entrance and exit interviews; records of contacts concerning overdue loans; correspondence between the university and the borrower, collection agencies, and credit bureaus; and similar records relating to the disbursement of grants, veterans education benefits, and work-study funds and the disbursement and repayment of loans. Includes disbursement and repayment records of Pell Grant Program.	AC+3		URRS-373 AC = End of award year.	34 CFR 690.82(a), 34 CFR 668.24.

Retention Codes (field 7) AC – See event trigger for specific records series definition AV – Administratively valuable CE – Calendar year end	FE – Fiscal year end LA – Life of Asset PM – Permanent US – Until Superseded	Archival Codes (Field 10) A/I – Transfer to State/University Archivist R/O – Review by State/University Archivist
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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
15.3.021	Financial Aid Disbursement and Repayment Records - Federal Work-Study (FWS) and Federal Supplemental Educational Opportunity Grant (FSEOG) Programs	Including (to the extent applicable to specific programs) disbursement and repayment forms; receipts; account cards; copies of promissory notes; certifications of enrollment status or other data to grantors or lenders; cancellation, deferment, or payment extension documentation; work-study certifications and time reports; documentation of entrance and exit interviews; records of contacts concerning overdue loans; correspondence between the university and the borrower, collection agencies, and credit bureaus; and similar records relating to the disbursement of grants, veterans education benefits, and work-study funds and the disbursement and repayment of loans. Includes disbursement and repayment records of Federal Work-Study (FWS) and Federal Supplemental Educational Opportunity Grant (FSEOG) Programs.	AC+3		URRS-372 AC = Submission of annual report for the award year.	34 CFR 675.19(b)(1), 34CFR 676.19(b), 34CFR 668.24(a).

Retention Codes (field 7) AC – See event trigger for specific records series definition AV – Administratively valuable CE – Calendar year end	FE – Fiscal year end LA – Life of Asset PM – Permanent US – Until Superseded	Archival Codes (Field 10) A/I – Transfer to State/University Archivist R/O – Review by State/University Archivist
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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
15.3.022	Financial Aid Disbursement and Repayment Records - Income Contingent Loan (ICL) and Perkins Loan Programs	Including (to the extent applicable to specific programs) disbursement and repayment forms; receipts; account cards; copies of promissory notes; certifications of enrollment status or other data to grantors or lenders; cancellation, deferment, or payment extension documentation; work-study certifications and time reports; documentation of entrance and exit interviews; records of contacts concerning overdue loans; correspondence between the university and the borrower, collection agencies, and credit bureaus; and similar records relating to the disbursement of grants, veterans education benefits, and work-study funds and the disbursement and repayment of loans. Includes disbursement and repayment records of Income Contingent Loan (ICL) and Perkins Loan Programs.	AC+5		URRS-371 AC = Date of final repayment or cancellation. See URRS 15.3.026 for Perkins Original Promissory Notes.	34 CFR 674.19(e)(3).
15.03.023	Financial Aid Program - Fiscal Operations Report (FISAP)	The Fiscal Operations Report and Application to Participate in the Federal Perkins Loan, Federal Supplemental Educational Opportunity Grant (FSEOG), and Federal Work-Study (FWS) Programs (FISAP) and any records necessary to support the data contained in the FISAP.	AC+3		URRS-371 AC = End of the award year in which the report was submitted.	34 CFR 668.24(e)(1)(i), 324 CFR 674.19(e)(3)(i), 34 CFR 675.19(b)(1), 34 CFR 676.19(b).
15.3.024	Financial Aid Program - Health Profession and Nursing Student Loan Administration Records	Records documenting the fiscal administration by a university of a health profession or nursing student loan.	AC+3		URRS-385 AC = Submission of periodic report.	45 CFR 74.53(b).

Retention Codes (field 7)

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

FE – Fiscal year end
 LA – Life of Asset
 PM – Permanent
 US – Until Superseded

Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
15.3.025	Financial Aid Program - Institutional Program Files	Documentation of the university's participation in financial aid programs (such as Federal Title IV). Required records include: Program Participation Agreements; application portion of the Fiscal Operations Report and Application to Participate (FISAP); accrediting and licensing agency reviews, approvals, reports; state agency reports; audit and program review reports; self-evaluation reports; other records pertaining to financial responsibility and standards of administrative capacity.	AC+3		URRS-149 AC = End of award year.	34 CFR 668.24, 674.19(e)(3)(i), 34 CFR 675.19(b)(1), 34 CFR 690.82(a), 34 CFR 676.19(b).
15.3.026	Perkins Original Promissory Notes	This series consists of the promissory notes for student loans negotiated for the current academic year.	AC		URRS-151 AC = Until loan is satisfied or documents are needed to enforce obligation.	34 CFR 674.19(e)(4).
15.3.027	Tuition Exemption and Remission Records	Applications for and supporting documentation evidencing the grant of tuition exemptions or remissions. This series may include but is not limited to: authorizations; reconciled lists; account summaries; and related documentation.	AC+3		URRS-156 AC = End of award year.	
15.3.028	Tuition Rebate Documentation	Includes tuition rebate form and any supporting documentation pertaining to college tuition rebate program under Texas Education Code Sec. 54.0065.	AC+5		URRS-137 AC = Graduation or date of last attendance.	

Retention Codes (field 7)

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

FE – Fiscal year end

LA – Life of Asset
 PM – Permanent
 US – Until Superseded

Archival Codes (Field 10)

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

Section 15.4 Student Privacy Records

Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
15.4.001	Access Policies	Written policies and procedures demonstrating how a district meets the requirements of the Family Educational Rights and Privacy Act (FERPA) of 1974, as amended, and federal rules adopted under the act.	US		URRS-170	
15.4.002	Access Waiver Records	Waivers of access by students to confidential letters and confidential statements of recommendation and revocations of such waivers.	AC		URRS-166 AC = Life of the record to which access waiver documentation applies.	
15.4.003	Disclosures	Record of each request for access to and each disclosure of personally identifiable information from the educational records of a student: documentation of requests from and disclosures to any party other than the student, an official of the university for what the university has determined are legitimate educational interests, a party with or without written consent from the student, or a party seeking directory information.	AC		URRS-168 AC = As long as disclosed record is maintained.	34 CFR 99.32(a)(2).
15.4.004	Protest of Record Statements	Statements by students commenting on contested information in a student record, or stating why he or she disagrees with a university's decision not to amend a record, or both.	AC		URRS-165 AC = Life of the record containing the contested information.	34 CFR 99.21(c)(1).

Retention Codes (field 7)

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

FE – Fiscal year end

LA – Life of Asset
 PM – Permanent
 US – Until Superseded

Archival Codes (Field 10)

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

Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
15.4.005	Record Amendment Requests	Requests from students to amend student records, notices by an institution of denial or consent to amendments, requests for hearings on denied requests, hearing notices, and written decisions by hearing examiners.	2		URRS-164	
15.4.006	Student Nondisclosure Requests	Student request to opt out of directory information disclosure.	AC		URRS-162 AC = Until termination of nondisclosure request.	34 CFR 99.37(b).
15.4.007	Written Consents	Written consents for information disclosure from the eligible student or student's parents.	AC		URRS-167 AC = Until termination of waiver.	

Retention Codes (field 7)

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

FE – Fiscal year end

LA – Life of Asset

PM – Permanent

US – Until Superseded

Archival Codes (Field 10)

A/I – Transfer to State/University Archivist

R/O – Review by State/University Archivist

Section 15.5 – Other Records and Reports

Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
15.5.001	Academic Standing Reports	This series documents student academic standing, including academic deficiency and the status changes of academically deficient students. This series may include but not limited to: reports containing student names, grade point averages (GPA's), grade point deficiencies, and numbers of previous suspensions and probations; student petitions for re-evaluation; report of student progress toward academic readmission/removal of probation status at other institutions; academic honors and awards; and related documentation and correspondence.	3		URRS-130	
15.5.002	Admissions/Enrollment Reports	Summary and statistical information relating to student admission programs which may be used for control, planning or review. This series may include but not limited to: Texas Higher Education Coordination Board (THECB) report: reports sent to administration; or beginning of semester enrollment reports sent to office of institutional research.	PM		URRS-177 For raw data or working files used to create these reports, see RRS 1.1.065.	

Retention Codes (field 7)

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

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Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
15.5.003	Class Lists	This series provides instructional units with an official record of students enrolled in courses taught. The series is used to cross-check students who have enrolled against those who have registered as well as in the generation of statistical reports. Information in the series includes: student names; social security numbers or other student identification numbers; term; and enrollment/registration status.	AC		URRS-351 AC = When the list of students who have enrolled has been cross-checked with the list of students who have registered. CAUTION: Class lists often have long-term value in the generation of statistical and other reports. They should be reviewed before disposal, as some of these records may merit long-term or permanent retention.	
15.5.004	Recruitment Records	This series documents effort of the institutional units to recruit students based upon disadvantaged status, academic performance, and other criteria. This series may include but is not limited to: prospects lists; advertisement tearsheets; direct mail pieces; promotional literature; and similar material used to recruit students.	3		URRS-515 CAUTION: For recruitment of individual students, see URRS 15.5.005. For recruitment of athletes into the institution's intercollegiate athletics program, see URRS 18.2.018.	
15.5.005	Recruitment Records - Individual Students	This series documents effort of the institutional units to recruit individual students based upon disadvantaged status, academic performance, and other criteria. This series may include but is not limited to: interview notes; conversation notes; personal information forms and resumes; test scores; photographs; and academic transcripts.	AC+1		URRS-173 AC = End of application term. CAUTION: Does not include records of recruitment of athletes into the institution's intercollegiate athletics program. See URRS 18.2.018.	

Retention Codes (field 7)

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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
15.5.006	Statistical Reports	Annual statistical reports related to academic subjects, such as admissions reports, enrollment statistics, grades, graduates/degree statistics, racial/ethnic composition, and other education-related matters submitted to the governing body, state or federal agencies, or accrediting organizations.	PM	I	URRS-179	
15.5.007	Student Conduct Records/Disciplinary Action Records	This series documents academic dishonesty and conduct violations among students. This series may include but is not limited to: incidents reports; final reports; evidence; notification of allegation; disciplinary reports; informal discussion notes; formal hearing notes; final summary statements; decision statements; appeals documentation; and related documentation and correspondence.	AC+5		URRS-303 AC = Graduation or date of last attendance.	

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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
15.5.008	Student Grievance Records	This series documents grievance brought forward by students against the institutions which do not result in litigation. Grievances may pertain to academic issues; housing; affirmative action and equal opportunity; student conduct; and other issues. This series may include but is not limited to: notices of grievance; informal discussion notes; grievance responses; formal hearing notes (including audio tapes); final summary statements; settlement agreements; appeals documentation; and related records. Portions of these records may be exempt from public disclosure.	AC+5		URRS-304 AC = Graduation or date of last attendance. CAUTION: If a grievance brought forward by students against the institution becomes part of litigation, it should be retained as a litigation record per RRS 1.1.048. If the grievance goes to the university ombudsman, the record should be retained as an ombudsman record per RRS 3.3.039.	
15.5.009	Student Statistical Reports - Raw Data	Includes raw data or working files used to create annual or summary Student Statistical Reports. This series may include but not limited to: specialized listings and statistical reports pertaining to departmental and college registration; course changes; add/drops, geographical distribution of students; student age and gender data; mortality of classes; student transfers from other schools; student body grade point averages and GPAs of living groups; and veterans enrollment; reports documenting student and enrollment by term; and reports on other topics.	AV		URRS-178	

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Category 16: University Services Records

Section 16.1 – Health and Counseling Records

Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
16.1.001	Abuse and Neglect Records	This records series documents abuse and/or neglect findings observed during patient care. The findings may be evidence of child, domestic, elder, or other kinds of abuse. This series may include but is not limited to: incident/variance reports submitted to the proper authorities and related correspondence.	AC+10		URRS-447 AC = Report date. If the patient is a minor, the record retention period is extended until ten years after the minor reaches the age of majority.	
16.1.002	Adverse Drug Event Records	Records related to adverse drug events or medical occurrences in patients and others served by the institution, excluding events taking place in the course of a research study.	5		URRS-448	
16.1.003	Birth Reports	This records series consists of all necessary information for the completion of the birth certificate including baby's name, weight, height, time/date/location of birth and information on the baby's parents. The record copy of the birth certificate is retained by the Office of Vital Statistics.	AC+21		URRS-451 AC = Report date.	

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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
16.1.004	Blood Bank and Transfusion Records	Documentation of all significant steps in the collection, processing, compatibility testing, storage and distribution of each unit of blood and blood components.	AC		URRS-452 AC = 10 years after the records of processing have been completed or 6 months after the latest expiration date for the individual product, whichever later. CAUTION: When there is no expiration date, records must be retained PERMANENTLY.	21 CFR 606.160, American Blood Bank (AABB) and Standards for Blood Banks and Transfusion Services (BB/TS), Current Edition, Standard 6.2a.
16.1.005	Brachytherapy Patient Monitoring	This records series contains records of radiation area surveys performed on patients treated with radioactive materials in order to document compliance with state and federal regulations.	PM		URRS-453	25 TAC 289.
16.1.006	Communicable Disease Records	This series fulfills the public health requirement of reporting the discovery of communicable disease. This series may include but is not limited to: laboratory test results; name and address of patient; date; and person making referral. Information is transferred to the county health department, but the log is maintained by the laboratory.	3		URRS-199	

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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
16.1.007	Continuing Medical Education (CME) Class Records	This records series documents the administration of and participation in Continuing Medical Education (CME), Continuing Dental Education (CDE), and Continuing Nursing Education (CNE) training courses or programs and may include but is not limited to: course agendas, descriptions, and syllabi; course outlines and materials; enrollment and attendance records, training requests and authorizations, certificates of completion; and related documentation and correspondence.	6		URRS-495	Accreditation Council for Continuing Medical Education (ACCME).
16.1.008	Counseling Case Records	This series documents all clients who are provided counseling services by the institution's counseling center. Clinicians provide treatment concerning personal problems, academic concerns, and career concerns. This series may include but not limited to: extensive notes made by providers concerning the assessment, diagnosis, treatment and contacts (written, telephone, or in person) with each client; referral letters; release of information agreements; letters to agencies or others concerning the clients; and related documentation.	AC+5		URRS-511 AC = Last contact with client. CAUTION: Please refer to URRS 16.1.034 for Psychological or Psychiatric Case Records.	22 TAC 681.41(r).

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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
16.1.009	Disclosure of Protected Health Information	This records series documents disclosure of Protected Health Information (PHI) in accordance with the Health Information Portability and Accountability Act (HIPAA) compliance regulations.	FE+6		URRS-456	
16.1.010	Donor Records - Medical	Records that document the final disposition of the donated/willed body to the program and to transfer the donated body and/or specimen to a facility. This series may include but is not limited to: completed bequeathal forms and cadaver information for people who have donated their bodies to the institution; death certificates; State Anatomical Board (SAB) Form B, that is attached to all death certificates; copies of SAB Form B; signed receipt from the providing institution or facility; tracking form and Morgue Control Sheet that identifies the acceptance of the body, date, and time of receipt, and all transfer and return shipment documentation of body and/or specimen requests and transfers for delivery to another facility, department, etc., documentation relating to the final disposition of the body, and any relating correspondence.	PM		URRS-457	

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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
16.1.011	Medical Assistance Applications	This records series contains applications submitted on behalf of a patient to a drug company's or medical institution's assistance program. The series may include but is not limited to: program application forms, validation letters and forms for reapplying, and any paperwork that may be included with the medications when they are sent to the department and subsequently dispensed to the patient.	AC+1		URRS-458 AC = Until superseded or discontinued.	
16.1.012	Drug Recall Notices	United States Food and Drug Administration (FDA) and manufacturer recalls on drugs. This series may include but is not limited to, reportable occurrences of drug use, recalls through the manufacturer and responses by departments.	AC		URRS-459 AC = 5 years after the records of manufacture have been completed or six months after the latest expiration date for the individual product, whichever later.	21 CFR 600.12.

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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
16.1.013	Final Laboratory Test Reports - Pathology	This records series consists of the legally reproduced copies of each test result and preliminary reports on pathology testing. Documentation includes all the information recorded on the test requisition plus the specimen's accession number, the date and time the lab received the specimen, the condition and disposition of samples which do not meet the lab's acceptance standards, the records and dates of performance of each step in the patient testing leading to and including the final report. This series is specific to pathology, histology, and cytology records.	10		URRS-460	42 CFR 493.1101.
16.1.014	Forensic Autopsy Records	Records related to forensic autopsies, including but not limited to reports, slides, photographs/negatives, and accession logs.	PM		URRS-509 NOTE: This series applies only to inquests into a death occurring in a county that does not have a medical examiner's office or that is not part of a medical examiner's district.	CAP and CLIA Recommendation.

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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
16.1.015	Forensic Autopsy Supporting Documents	This records series consists of copies of hospital, nursing home, ambulance, or police homicide records used as reference materials for medical examiner investigations, for use in court cases of wrongful death, or a medical/legal case. These records, or portions of them, are used as factual foundation in concert with autopsy findings in the formation of cause-of-death opinions. This series may include but is not limited to: cause of death worksheet, interview notes, and a duplicate of the Death Certificate, the original certificate is filed with the Bureau of Vital Statistics.	AC+25		URRS-450 AC = Date of death. Note: Death Certificates are confidential under Texas Law for 25 years from the date of the event. If the death was less than 25 years ago, the certified copies can only be obtained by qualified applicants. A qualified applicant is defined as the registrant, or immediate family member either by blood or marriage, his or her guardian, or his or her legal representative.	25 TAC 181.11.
16.1.016	Health Assessment	This series documents provision of health-related services, for example: cholesterol screening, blood pressure testing, etc. This series may include but is not limited to: tests; goals and objectives; diagnostic reports; questionnaires; permission to forward the information to the patient's primary care physician, and related data.	2		URRS-461	
16.1.017	Health Related Services / Denied or Not Seen	This records series documents instances where outpatients are referred to the institution by non-institutional practitioners who are denied health-related services or who are not seen by the institution.	AV		URRS-505	

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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
16.1.018	Immunization Record and Consent Forms	Signed consent forms and records noting the type of immunization performed which are not included in the patient's medical record.	AC		URRS-463 AC = 21st birthday or 10 years following end of calendar year in which the consent form was signed, whichever is later. CAUTION: For immunization reports required by the Texas Education Code and the Texas Health and Safety Code, see RRS 1.1.007.	
16.1.019	Indefinite Deferral List	This records series consists of lists of potential donors who have been deferred indefinitely due to abnormal test results.	PM		URRS-464	American Blood Bank (AABB) and Standards for Blood Banks and Transfusion Services (BB/TS), Current Edition, Standard 6.2a.
16.1.020	Laboratory Inspection Records - Calibration Records	This series documents in-house inspection of laboratory equipment on a quarterly basis. This series comprises calibration records.	3		URRS-195	42 CFR 493.1105, 25 TAC 289.202(nn)(1).
16.1.021	Licensure Records for Health Personnel and Facilities	This series documents the professional and regulatory issuance of credentials to individuals and facilities providing services within the health institution. This series may include but is not limited to: license applications; College of American Pathologist (CAP) comparative test results for laboratory licensing; individual employee professional licenses; and related correspondence.	US		URRS-192 CAUTION: Institutions should ensure that they are keeping licenses for as long as required by the organization issuing the license.	

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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
16.1.022	Medicaid Provider Records	All records necessary to fully disclose the services provided, including financial records relating to program services.	AC+5		URRS-468 AC = Date of service or until all audit questions, appeal hearings, investigations, or court cases are resolved.	1 TAC 354.1004 and Texas Medicaid Provider Procedures Manual, Chapter 1.
16.1.023	Medical Device Recall Notices and Responses	United States Food and Drug Administration (FDA), Safe Medical Devices Act (SMDA) and manufacturer recalls on all medical, food and drug devices. This records series may include but not be limited to: reportable occurrences on devices, recalls through the manufacturer and responses by institutional departments.	AC		URRS-469 AC = 15 years or the expected life of device, whichever is later.	21 CFR 806.20(c), 21 CFR 821.60.
16.1.024	Medical Logs	This series is used to log in patients who visit the health institution (both in-patients and out-patients). It may also be used to create annual census reports and 3-year census comparisons. This series may include but is not limited to: the date and time that the patient came in; appointment; admission; transport; dispatch; the physician assigned; diagnosis; discharge; patient photo; patient service; length of stay; master schedule sheets; expired drug disposal; and remarks.	3		URRS-189	

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16.1.025	Medical Record	<p>This records series consists of original patient care documents for every patient seeking care or service from university's health institution(s). The Medical Record is designed to contain written interpretations of all significant clinical information gathered for a given patient, whether as an inpatient, outpatient, or emergency care patient. This series may include but is not limited to: reason for the encounter and relevant history, physical examination findings and prior diagnostic test results; an assessment, clinical impression, or diagnosis; plan for care (including discharge plan if appropriate); the date and legible identity of the observer; past and present diagnoses; the rationale for and results of diagnostic and other ancillary services; the patient's progress, including response to treatment, change in diagnosis, and patient's non-compliance; relevant risk factors; written consents for treatment or surgery requested from the patient/family by the physician; salient records received from another physician or health care provider involved in the care or treatment of the patient; written interpretations of source data; and a written plan for care. The written plan for care should include when appropriate: treatments and medications (prescriptions and samples) specifying amount, frequency, number of refills, and dosage; any referrals and</p>	AC+7		<p>URRS-496</p> <p>AC = Date of last service. Or, retain until patient reaches age 21, whichever is later.</p> <p>CAUTION: For psychological and psychiatric case records, refer to 16.1.034.</p> <p>For counseling case records, see URRS 16.1.008.</p> <p>For medical records at a student health center, see URRS 16.1.026.</p> <p>For medical source data, see URRS 16.1.038.</p>	22 TAC 165.1(b).
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<p>Retention Codes (field 7)</p> <p>AC – See event trigger for specific records series definition</p> <p>AV – Administratively valuable</p> <p>CE – Calendar year end</p>	<p>FE – Fiscal year end</p> <p>LA – Life of Asset</p> <p>PM – Permanent</p> <p>US – Until Superseded</p>	<p>Archival Codes (Field 10)</p> <p>A/I – Transfer to State/University Archivist</p> <p>R/O – Review by State/University Archivist</p>
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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
		consultations; patient/family education; and, specific instructions for follow up.				
16.1.026	Medical Records - Student Health Clinic	This series documents the medical services history provided for students treated by the student health center. This series may include but is not limited to: appointment request slips; summary sheets; bacteriology test results; treatment record forms; diagnosis sheets; health history/screening sheets; initial evaluation/assessment sheets; referral sheets; health center billing statements; personal health history sheets; dental examination sheets and X-rays; laboratory test results; physical therapy notes; X-ray release forms; X-ray requisitions with narrative of radiologist; notes; memoranda; and related correspondence.	AC+7		URRS-191 AC = Date of last service. Or, retain until patient reaches age 21, whichever is later. CAUTION: For psychological and psychiatric case records, see URRS 16.1.034.	22 TAC 165.1(b).

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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
16.1.027	Medical Rotation Records / Non-Affiliated Medical Students, Residents and Fellows	This records series documents medical students, residency physicians, or fellows not affiliated with this university, but are accepted to practice medicine under the supervision of a licensed physician at this hospital as part of an elective not offered at their hospital. This series may include but is not limited to: formal request to rotate, CV, criminal background check, drug test, permit to practice medicine, evaluations, and related correspondence. Note: Records for affiliated students are kept with other student records, and records for affiliated residents/fellows are kept with residency records.	AC+5		URRS-471 AC = Completion of training or date of last attendance.	
16.1.028	Medical Treatment Plans / Teaching Files	Medical and dental treatment plans used primarily for teaching purposes. Records may include but are not limited to copies of patient work-up forms, diagnosis, treatment and management plan for each patient that is seen over a 2 week period. Patient demographics, medication list, patient needs risk assessment, and insurance information may also be included.	AC+5		URRS-472 AC = After term in which the course is taught.	
16.1.029	Non-Forensic Autopsy Records	Records relating to non-forensic autopsies, including reports and slides.	10		URRS-508	CAP and CLIA recommendation.

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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
16.1.030	Patient Valuables Inventory	This records series documents the inventory of patient valuables.	CE+10		URRS-475 CAUTION: If the inventory is kept as a log, then the retention period begins when the log is full.	Texas Property Code, Section 74.103.
16.1.031	Pharmacy - Drug Administration Records	Inventory and other records of the purchase, acquisition, disposal, or dispensation of drugs as required by federal law and regulations, state law, and the rules of the Texas State Board of Pharmacy (TSBP).	AC+2		URRS-187 AC = The later of the date that the record was required to be created, the record was created, or the prescription was last filled. CAUTION: See URRS 16.1.032 for prescription records. By federal regulation, inventories and records of all controlled substances must be maintained separately from all other records of the pharmacy.	21 CFR 1304.04(a), Health and Safety Code, Section 481.067(c), 37 TAC 13.207.

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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
16.1.032	Pharmacy - Prescription File	Paper prescription slips or electronic prescription records for controlled substances maintained in accordance with federal law and regulations, state law, and the rules of the Texas State Board of Pharmacy (TSBP).	AC+2		<p>URRS-188</p> <p>AC = The later of the date that the record was required to be created, the record was created, or the prescription was last filled.</p> <p>CAUTION: See URRS 16.1.031 for inventory and other drug administration records.</p> <p>CAUTION: By federal regulation, paper prescriptions for Schedule II controlled substances shall be maintained in a separate prescription file. Paper prescriptions for Schedules III, IV, and V controlled substances shall be maintained either in a separate prescription file for Schedules III, IV, and V controlled substances only or in such form that they are readily retrievable from the other prescription records of the pharmacy. Electronic records must be readily retrievable at the registered location if requested by the Drug Enforcement Administration (DEA) or other law enforcement agent. An electronic application storing prescription data must be capable of printing out or transferring the records in a format that is readily understandable to a DEA or other law enforcement agent at the registered location. Electronic copies of prescription records must be sortable by prescriber name, patient name, drug dispensed, and date filled.</p>	21 CFR 1304.04, Health and Safety Code, Section 481.075(i)(2), Health and Safety Code, Section 483.023, 37 TAC 13.207.

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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
16.1.033	Poison Center Case Sheets	This records series consists of a record of calls made to the Poison Control Center documenting individual poisoning or suspected poisoning incidents. Information may include date/time called, location of call, case number, name of individual, ingestion, treatment and medical outcome.	21		URRS-481	
16.1.034	Psychological and Psychiatric Case Records	This series documents all clients who are provided psychological and psychiatric services by the institution's counseling center. Clinicians provide treatment concerning personal problems, academic concerns, and career concerns. The psychiatric consultant provides psychiatric care to some student clients. This series may include but not limited to: extensive notes made by providers concerning the assessment, diagnosis, treatment and contacts (written, telephone, or in person) with each client; referral letters; release of information agreements; letters to agencies or others concerning the clients; and related documentation.	AC+7		URRS-181 AC = Last contact with client CAUTION: For patients less than 18 years of age when last treated, the records must be retained until the patient reaches age 21 or for seven years from the date of last treatment, whichever is later. For Counseling Case Records, see URRS 16.1.008.	Health and Safety Code, Section 241.103, 22 TAC 165.1(b).

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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
16.1.035	Quality Assurance Records/Health Services	This series documents the setting of measurable standards and procedures for health systems and professional quality by professionals on staff. This series may include but is not limited to: documentation of equipment monitoring, checks of quality control items, and any necessary corrections; reports by the staff; quality assurance committee notes; Morbidity & Mortality (M&M) conferences for residents, staff reviews and related correspondence.	FE+3		URRS-485	
16.1.036	Resident Physician Formative Evaluation	Created during the periods of training. Evaluations are completed by attending physicians, peer physicians, supervising physicians, residents, or medical students. Includes raw data and questionnaires used to provide an evaluative record of resident physicians, evaluative comments regarding clinical knowledge, skills, interpersonal relationships, and personal/professional characteristics.	AC		URRS-488 AC = After resident has graduated or until any dispute involving the resident has been resolved, whichever occurs later.	

Retention Codes (field 7)

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Archival Codes (Field 10)

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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
16.1.037	Residents/Fellows Training Records	Provides a comprehensive record of accepted physicians in training. Used to verify completion of residency education requirements. This series may include but limited to: summative evaluations; letters of recommendation; contract renewals for training and employment; Certification of Residency; Completion of Resident Program; related correspondence, etc.	AC+50		URRS-480 AC = Completion of training. Note: This series is not for regular Continuing Medical Education or employee training records, but is instead specific to the training requirements for medical residents and fellows.	
16.1.038	Source Data - Medical	This records series includes health information stored in any original media. This series may include but is not limited to, paper diagnostic tests or tools, X-rays, videotapes, ultrasounds, fetal monitor strips, photographs (either conventional photos or digital images), EKG strips, and ancillary or supporting systems (e.g. pharmacy information systems and radiation oncology information systems). The medical record must contain a written interpretation of all Source Data. Source Data is distinct from the written interpretations of significant clinical information that has been forwarded to the medical record.	5		URRS-182 CAUTION: Some source data, such as fetal monitoring strips or mammography images, may need to be kept longer. Please verify retention requirements for these special kinds of source data.	42 CFR 482.26(d)(2).

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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
16.1.039	Student Health History Forms	This series documents a student's medical history. The series contains student medical history forms for students who have never visited an institution's student health center and therefore do not have a medical record on file. These forms are a prerequisite for enrollment at most institutions.	AC+3		URRS-198 AC = Graduation or date of last attendance.	
16.1.040	Student Health Insurance Records	University copies of information relating to the selection by students of health insurance offered to students through the university.	AC		URRS-184 AC = Until superseded or date of last attendance.	
16.1.041	Surgical Instrument Sterilization Records	This series documents the sterilization of surgical instruments used by the health institution. This series may include but is not limited to: autoclave recording charts and log sheets indicating date; load number; items sterilized; and temperature/time settings.	3		URRS-183	

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Section 16.2 – Library, Archives, and Museum

Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
16.2.001	Circulation Records	This series documents the borrowing of circulating library materials by qualified patrons. This series may include but is not limited to: the name and identification of the borrower; the titles of materials borrowed; the due date; overdue and fine payment notations; and related documentation and correspondence.	AC		URRS-217 AC = Transaction is completed. The disposal of circulation records needs not be documented through destruction authorizations, see RRS 1.2.001, or in records disposition logs, see RRS 1.2.010.	
16.2.002	Collection Control Records	This series documents the maintenance of materials which typically involve accessioning, cataloging, preserving, and/or referencing. This series may include but is not limited to: deeds of gift; appraisal reports (monetary or non-monetary); accession sheets; archives transmittal lists; accession reports; purchasing information; recommendations concerning deaccessioning of specific holdings and action upon those recommendations; and related documentation and correspondence.	PM		URRS-215 See RRS 2.1.011 (Finding Aids, Indexes, and Tracking Systems) for archival finding aids.	

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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
16.2.003	Collection or Artifact Loan Records	This series documents artifact and material loans contracted between units of the institution or between the institution and either other institutions or individuals. This series may include but not limited to: signed and legally binding agreements for incoming and outgoing loans between the collection administrators; receipts for loans and return of materials to the legal holder; and related forms, documentation and correspondence.	AC+4		URRS-216 AC = Acceptance of return of items per contract terms. Upon the expiration of the retention period, repositories should consider transferring loan records to the URRS 16.2.002 Collection Control Record if they possess continuing reference or administrative value.	
16.2.004	Courtesy Borrower Records	Records documenting guest borrowers of library materials. Records may include guest borrower's name, address, telephone number, company or institution name, and patron status.	AC		URRS-214 AC = Expiration of borrowing privileges and clearing of fines. CAUTION: If borrower application serves as an agreement between the borrower and the institution (e.g., to follow library rules), see RRS 5.1.001.	
16.2.005	Equipment Checkout Records	Records documenting the physical control of the library's lending program for equipment (e.g., laptops, tablets, cameras, etc.) to individual borrowers.	FE+3		URRS-387	

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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
16.2.006	Exhibit Records	This series documents the display and use of artifacts and materials held by the collection units or displays created by the units. This series may include but is not limited to: artifact labels or placards; photographs of exhibits; planning documents; publicity materials; exhibit renderings; exhibit assembly and presentation instructions; and related documentation and correspondence.	AC	O	URRS-212 AC = Conclusion of exhibit. ARCHIVES NOTE: For museums, archival review and selection may be performed by museum curatorial staff. Materials pertaining to major exhibits may possess long-term historical value and may be retained either in the institutional archives or the museum unit, as appropriate.	
16.2.007	Interlibrary Loan (ILL) Records	This series documents requests made of the institutions within the university library system for materials by outside institutions and also institution requests for materials from other library systems. This series applies to circulating library resources only (not to archival, special collections or museum materials).	FE+3		URRS-209 CAUTION: Records Management Officers should ensure that ILL records maintained by a third-party vendor are retained in accordance with this record series.	
16.2.008	Library Catalog	Catalog of bibliographic records used as a guide to library holdings.	US		URRS-201 The disposal or supersession of library catalog records needs not be documented through destruction authorizations, see RRS 1.2.001, or in records disposition logs, see RRS 1.2.010.	

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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
16.2.009	Library Materials Control Records	Includes records of the acquisition and cataloging of library material.	AC		<p>URRS-388</p> <p>AC = Catalog updated.</p> <p>CAUTION: Does not include the library catalog. See URRS 16.2.008.</p> <p>CAUTION: SEE RRS 4.7.004 for records documenting purchase of library materials.</p> <p>The disposal of library material control records needs not be documented through destruction authorizations, see RRS 1.2.001, or in records disposition logs, see RRS 1.2.010.</p>	
16.2.010	Patron Registration Records	Patron registration forms filled out by archives users to gain access to the reading room to view archival materials. May also include photocopies of photo identification or other related materials.	4		<p>URRS-207</p> <p>See RRS 5.4.011 for sign-in sheets, guest books, patron logs, and similar records documenting visitors to limited access or restricted areas of university facilities.</p>	
16.2.011	Permissions History Files	Records of the repository granting/denying permission to reproduce images of items in the collection. Includes permission forms and correspondence requesting permission to publish images from archival collections.	AV		URRS-205	

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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
16.2.012	Reference Request Records	This series documents requests for information about, or access to, items within the institution's collections. This series may include but is not limited to: reference request forms; general email correspondence; disposition of or time spent fulfilling the requests; call slips (also called pull slips); and related documentation and correspondence.	FE+3		URRS-206	

Section 16.3 – Campus Security

Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
16.3.001	Antenna and Transmitter Documentation	Records documenting the monitoring, inspection, measurement, repair, and illumination of antenna, antenna supporting structures, and transmitters authorized to operate with a power output in excess of two watts.	1		URRS-500	47 CFR 90.447.

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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
16.3.002	Arrest Reports	Arrest report and fingerprints on each person arrested and charged with a felony or a misdemeanor not punishable by fine only. Report includes the name (including aliases), date of birth, and physical description of the offender; the name of the arresting agency; the arrest charge and whether it is a felony or a misdemeanor; the date of arrest; and the date and exact disposition of the case by the agency.	75		URRS-233 May be destroyed upon date of death of individual, if known. See URRS 16.3.036 for Class C misdemeanors or other violations punishable by fine only. CAUTION: If the arrest report does not provide the information listed in the record description, documents from offense investigation records, see URRS 16.3.035, enough to provide the information must be retained 75 years or until date of death of the individual.	
16.3.003	Bicycle Registration Records	This series documents the registration of bicycles on campus. This series includes registrations completed by institution students, faculty, and staff for use of bicycles on campus. Information on the cards includes: owner/user names; addresses; telephone numbers; bicycle frame serial numbers; bicycle models; and permit numbers.	AC		URRS-237 AC = Date of expiration or when administrative value has been met.	
16.3.004	Campus Fire Statistics - Annual Fire Safety Report		PM		URRS-222	34 CFR 668.49.

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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
16.3.005	Campus Fire Statistics - 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. The Fire Log can be combined with the Crime Log for Clery Act reporting purposes.	7		URRS-220	34 CFR 668.49.
16.3.006	Campus Fire Statistics - Fire Statistics	Statistics on the number of fires, the number of persons who received fire-related injuries, the number of deaths related to fire, and the property damage caused by fire for each on-campus student housing facility.	3		URRS-221	34 CFR 668.49.
16.3.007	Campus Notifications	Emergency notifications distributed to the campus community regarding emergencies, evacuations, "timely warnings" related to public safety, and weather related instructions. Typical situations may include shelter in place directives, building evacuations, areas to avoid because of dangerous conditions, descriptions of suspects wanted in connection with criminal activities, notices of natural gas leaks, etc. Notifications may be sent via e-mail, text message, or other method. Note: emergency notifications may be combined for Clery Act reporting purposes.	3	0	URRS-394	
16.3.008	Chemical Breath Test Records	Logs, test records, operational check lists, and similar records relating to the administration of chemical breath tests.	2		URRS-424	

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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
16.3.009	Child Abuse Reports	Copies of child abuse reports received by a law enforcement agency pursuant to Family Code, Sections 261.103 and 261.105, which do not become part of arrest and offense investigation records.	3		URRS-417	
16.3.010	Clery Act Reporting - Annual Security Report	Annual security report created pursuant to the Clery Act.	7	O	URRS-226 NOTE: This record may possess ongoing administrative value to the creating department for research purposes.	20 USC 1092(f), 34 CFR 668.46.
16.3.011	Clery Act Reporting - Crime Log	A written, easily understood crime log that records the nature, date, time, general location, and disposition of the complaint (if known) of crimes investigated by campus police.	7		URRS-224	20 USC 1092(f), 34 CFR 668.46.
16.3.012	Clery Act Reporting - Crime Statistics	Statistics on criminal homicide; sex offenses; robbery; aggravated assault; burglary; motor vehicle theft; arson; and arrests for liquor law violations, drug law violations and illegal weapons possession. Includes crimes occurring on campus, in or on non-campus buildings or property, and on public property as defined by 34 CFR, Section 668.46(a) (the Clery Act).	3		URRS-225	20 USC 1092(f), 34 CFR 668.46.
16.3.013	Clery Act Reporting - Emergency Response and Evacuation Procedures	Policies developed to provide warning to students and employees of crimes representing a threat to safety, as required by the Clery Act.	AC+7		URRS-223 AC = Until superseded, expired, or discontinued.	20 USC 1092(f), 34 CFR 668.46(g).
16.3.014	Communication Logs	Records of internal communications, including telephone and radio logs.	30 days		URRS-445	

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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
16.3.015	Criminal Intelligence and Analysis Files	Records created and maintained to anticipate, prevent, or monitor possible criminal activity, including crime pattern, crime analysis, and modus operandi reports; forecasts; evaluation reports; investigation recommendations; reports on movements of known offenders; information on confidential informants; and messages and alerts from other agencies.	AV		<p>URRS-425</p> <p>Information compiled by a law enforcement agency concerning criminal combinations or criminal street gangs must be destroyed after 3 years if:</p> <p>(1) the information relates to the investigation or prosecution of criminal activity engaged in by an individual other than a child; and</p> <p>(2) the individual to whom the information relates has not been charged with criminal activity.</p> <p>In determining whether information is required to be removed, the three-year period does not include any period during which the individual who is the subject of the information is confined in the institutional division or the state jail division of the Texas Department of Criminal Justice (TDCJ).</p>	Code of Criminal Procedure, Section 61.06(b).

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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
16.3.016	Daily Bulletins	Routine informational communication for officers and personnel on duty, issued daily (or as often as needed). This series may include but is not limited to: Daily Blotter; Daily Crime and Fire Log; and/or "be on the lookout for" (BOLO) notifications. May also include weather advisories for officers.	1		URRS-395	
16.3.017	Death in Custody Reports	Copies of reports submitted by the director of a law enforcement agency to the Attorney General concerning the deaths of persons while in the custody of a peace officer.	3		URRS-418	
16.3.018	Dispatch Reports	Record created by dispatcher on each call for service documenting the dispatch of a campus police officer to investigate a disturbance or possible crime on the institution's campus. Includes date and time call received, nature of call, and details of action taken in response to call.	2	O	URRS-230	
16.3.019	Emergency Protective Order Lists	Periodic lists of persons under protective orders.	US		URRS-435	
16.3.020	Emergency Protective Orders - Issued by Magistrate pursuant to Family Code Ch. 85	Emergency protective orders issued by magistrates pursuant to Chapter 85 of the Family Code.	AC		URRS-514 AC = Period that the order is effective or 2 years after order issued, whichever later.	Family Code, Section 85.025.

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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
16.3.021	Emergency Protective Orders - Issued pursuant to Code of Criminal Procedure	Emergency protective orders issued by magistrates pursuant to Article 17.292(a), (b)(1), or (b)(2), Code of Criminal Procedure. This series is for protective orders issued on the magistrate's own motion or on the request of the victim of the offense, the guardian of the victim, a peace officer, or the attorney representing the state; or a protective order issued after the arrest for an offense involving family violence, if the offense involved serious bodily injury to the victim or in which the arrest is for an offense that involved the use or exhibition of a deadly weapon during the commission of an assault.	AC		URRS-434 AC = Period that the order is effective.	Code of Criminal Procedure, Section 17.292 (j).
16.3.022	Dating and Family Violence Reports	Dating and family violence reports that do not become a part of arrest or offense investigation records. Includes reports of violence between roommates.	3		URRS-419	
16.3.023	Field Interrogation Reports	Reports on persons stopped and interrogated in the field because of suspicious behavior.	AV		URRS-420	

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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
16.3.024	Fingerprint Records	Fingerprint records maintained in paper or on automated systems of missing persons, suspects, known offenders, incarcerated persons, etc.	AV		URRS-426 Fingerprint records of persons arrested for offenses other than Class C misdemeanors must be retained 75 years or until date of death of individual, if known by the arresting agency. See URRS 16.3.002. For fingerprints collected during an investigation, see URRS 16.3.035, URRS 16.3.038, and URRS 16.3.037.	
16.3.025	Fire Alarm and Drill Records	This series documents response to any alarm that is activated on campus. This series may include but is not limited to the following information: when and where the incident occurred; specific response; reset time; and rewind time, if appropriate.	3		URRS-229	
16.3.026	GPS Tracking Records	Global Positioning System (GPS) data used to track locations of police vehicles.	30 days		URRS-406 CAUTION: If the GPS data is used to establish the location of a police vehicle as part of an investigation, SEE investigation case file. The disposal or overwriting of GPS data need not be documented through destruction authorizations, see RRS 1.2.001, or in records disposition logs, see RRS 1.2.010.	

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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
16.3.027	Campus Security and Incident Reports	Reports concerning suspicious incidents or complaints that, after investigation, did not appear to have involved the commission of a crime. This series may include but not limited to: incident reports containing names, dates, case numbers, dollar values, locations, descriptions of incident, and personnel taking report; identification cards created when reports of suspicious behavior are made to the office; warnings records; notes; and related documentation. Information may be exempt from public disclosure.	3		URRS-228	20 U.S.C. 1092(f).
16.3.028	Law Enforcement Information Dissemination, Inquiry, and Receipt Records	Reports, logs, and other records pertinent to documenting the dissemination and receipt of criminal histories and dissemination of other information to law enforcement or other agencies through crime information networks (e.g., TCIC, NCIC). Includes records of the dissemination of information other than criminal histories (e.g., missing persons, stolen property) and records of inquiries for and the receipt of information, including criminal histories.	AV		URRS-439 CAUTION: Departments other than campus law enforcement see RRS 3.1.026 for criminal history checks.	

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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
16.3.029	Internal Affairs Investigation Records - Death/Injury	Records documenting the initiation, investigation, and disposition of internal affairs investigations of alleged misconduct by law enforcement officers. Includes records of investigation of law enforcement shooting incidents which result in death or injury to any person, including a police officer.	PM		URRS-407	
16.3.030	Internal Affairs Investigation Records - Formal Discipline	Records documenting the initiation, investigation, and disposition of internal affairs investigations of alleged misconduct by law enforcement officers. Includes records of investigations that result in sustained formal discipline (i.e., disciplinary action at or above the level of a written reprimand).	AC+15		URRS-408 AC = Completion of the investigation.	
16.3.031	Internal Affairs Investigation Records - Informal Discipline/Inconclusive	Records documenting the initiation, investigation, and disposition of internal affairs investigations of alleged misconduct by law enforcement officers. Includes records of investigations that result in sustained informal discipline (i.e., disciplinary action below the level of a written reprimand) or of investigations whose findings are inconclusive.	AC+5		URRS-409 AC = Completion of the investigation. CAUTION NOTE: A 1-year infraction-free period must precede the date of destruction.	

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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
16.3.032	Internal Affairs Investigation Records - Unfounded/Not Sustained	Records documenting the initiation, investigation, and disposition of internal affairs investigations of alleged misconduct by law enforcement officers. Includes records of investigations whose findings are not sustained, or in cases where accusations are determined to be unfounded or the accused is exonerated.	AC+3		URRS-410 AC = Completion of the investigation. CAUTION NOTE: A 1-year infraction-free period must precede the date of destruction.	
16.3.033	Missing and Unidentified Persons Files	Reports on missing children and adults, requests for investigation, photographs, fingerprints, dental records, X-rays, notifications of possible match, and similar documents relating to the location of missing children and adults, including similar records relating to unidentified bodies.	Date person located or body identified + 3 years.		URRS-422	
16.3.034	Mug Shots	Photographs of known offenders used by crime victims or witnesses for identification.	AV		URRS-427	

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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
16.3.035	Offense Records - Class A and B Misdemeanors and State Jail Felonies	Cases cleared by the conviction or acquittal of the person arrested or cited, by the dismissal of charges against the person, or by the entry on the record of a court by a prosecuting attorney of a nolle prosequi. Includes offense and supplemental offense reports; investigation reports and notes; witness statements; latent fingerprints; results of chemical analysis and polygraph tests; crime scene, mug shot, and other photographs; laboratory reports; citations; affidavits; criminal process; victim impact statements; and other records relating and customary to the investigation of criminal offenses or other violations of state law or local ordinance.	2		URRS-232 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.	
16.3.036	Offense Records - Class C Misdemeanors	Arrest reports and citations for Class C misdemeanors and unclassified violations of state law or local ordinance punishable by fine only, such as Minor in Possession (MIP), Minor in Consumption (MIC), and possession of drug paraphernalia.	6 MO		URRS-389	

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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
16.3.037	Offense Records - First-Degree and Capital Felonies	Cases cleared by the conviction or acquittal of the person arrested or cited, by the dismissal of charges against the person, or by the entry on the record of a court by a prosecuting attorney of a nolle prosequi. Includes offense and supplemental offense reports; investigation reports and notes; witness statements; latent fingerprints; results of chemical analysis and polygraph tests; crime scene, mug shot, and other photographs; laboratory reports; citations; affidavits; criminal process; victim impact statements; and other records relating and customary to the investigation of criminal offenses or other violations of state law or local ordinance.	50		<p>URRS-391</p> <p>CAUTION: Records of cases not cleared must be retained until the statute of limitations has expired.</p> <p>NOTE: Records may be destroyed upon the death of the individual, if known.</p>	

<p>Retention Codes (field 7)</p> <p>AC – See event trigger for specific records series definition</p> <p>AV – Administratively valuable</p> <p>CE – Calendar year end</p>	<p>FE – Fiscal year end</p> <p>LA – Life of Asset</p> <p>PM – Permanent</p> <p>US – Until Superseded</p>	<p>Archival Codes (Field 10)</p> <p>A/I – Transfer to State/University Archivist</p> <p>R/O – Review by State/University Archivist</p>
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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
16.3.038	Offense Records - Second- and Third-Degree Felonies and DWI Offenses	Cases cleared by the conviction or acquittal of the person arrested or cited, by the dismissal of charges against the person, or by the entry on the record of a court by a prosecuting attorney of a nolle prosequi. Includes offense and supplemental offense reports; investigation reports and notes; witness statements; latent fingerprints; results of chemical analysis and polygraph tests; crime scene, mug shot, and other photographs; laboratory reports; citations; affidavits; criminal process; victim impact statements; and other records relating and customary to the investigation of criminal offenses or other violations of state law or local ordinance.	10		URRS-390 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.	
16.3.039	Parking Citation Records	This series documents the regulation of on-campus parking. This series may include but is not limited to: citations; appeal petitions; and related documentation and correspondence.	AC+3		URRS-235 AC = Resolution.	
16.3.040	Parking Permit Records	This series documents the issuance of permits for on-campus parking. This series may include but is not limited to: annual permit cards; temporary permits; parking permits reports; and related documentation and correspondence.	AC+3		URRS-234 AC = Until superseded or permit expired.	

Retention Codes (field 7)

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

FE – Fiscal year end

LA – Life of Asset

PM – Permanent

US – Until Superseded

Archival Codes (Field 10)

A/I – Transfer to State/University Archivist

R/O – Review by State/University Archivist

Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
16.3.041	Pawn Shop Tickets	Information supplied by pawn shops and sent to law enforcement. Includes individual receipts or lists of items pawned with corresponding serial numbers (as applicable).	AV		URRS-428	
16.3.042	Police Activity Logs or Dockets	Logs or equivalent records, usually arranged chronologically or by case, court, or citation number, providing summary data on complaints investigated by law enforcement officers, arrests made, citations issued, accidents investigated, court arraignments, court appearances by officers, and similar activities relating to the arrest or citation of persons or the investigation of offenses.	2	O	URRS-412 ARCHIVES NOTE: Archival review required only if logs or dockets are kept in a bound volume.	
16.3.043	Police Animal Records	Records concerning horses, dogs, or other animals utilized by campus police, including records of the acquisition of the animal, its registration and pedigree papers (if applicable), records of training, and its veterinary history.	AC+2		URRS-399 AC = Retirement or sale of the animal.	

Retention Codes (field 7)

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

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Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
16.3.044	Police Audiovisual Recordings - Class C/Not Charged	Audiovisual recordings, including those from police vehicles, body worn cameras, or digital cameras, of persons detained for possible Driving While Intoxicated (DWI) or other violations. Includes recordings of persons on whom either a Class C misdemeanor charge is filed, or on whom no charges are filed.	AC+90 days		<p>URRS-414</p> <p>AC = Date of the stop.</p> <p>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.</p> <p>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.</p>	Code of Criminal Procedure, Section 2.135-2(b).

<p>Retention Codes (field 7)</p> <p>AC – See event trigger for specific records series definition</p> <p>AV – Administratively valuable</p> <p>CE – Calendar year end</p>	<p>FE – Fiscal year end</p> <p>LA – Life of Asset</p> <p>PM – Permanent</p> <p>US – Until Superseded</p>	<p>Archival Codes (Field 10)</p> <p>A/I – Transfer to State/University Archivist</p> <p>R/O – Review by State/University Archivist</p>
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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
16.3.045	Police Audiovisual Recordings - Offense Greater than Class C	Audiovisual recordings, including those from police vehicles, body worn cameras, or digital cameras, of persons detained for possible DWI or other violations. Includes recordings for offenses greater than Class C misdemeanors.	AC		<p>URRS-415</p> <p>AC = 30 days after entry of final judgment in the case, or 90 days after date of stop, whichever is later.</p> <p>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.</p> <p>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.</p>	Code of Criminal Procedure, Section 2.135-2(b).
16.3.046	Polygraph Examination Records	Polygraph charts, question sheets, reports of examination results, data sheets, films, audio and video of examinations, opinions from the examiner from chart analysis, and other records pertinent to a polygraph examination.	2		URRS-429	

Retention Codes (field 7)

AC – See event trigger for specific records series definition
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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
16.3.047	Rap Sheets	Copies of rap sheets received from the Texas Department of Public Safety (DPS) or other law enforcement agencies.	AV		URRS-416	
16.3.048	Special Watch Records	Informational forms or lists provided to officers for campus areas, buildings, or residences needing special watch, including requests from the public for such watches.	AV		URRS-430	
16.3.049	Surveillance Videos	Video surveillance for, but not limited to, security of property and persons.	AV		URRS-405 CAUTION: If the surveillance video is needed as part of an investigation it should be retained with the see investigation case file. The disposal or overwriting of surveillance videos need not be documented through destruction authorizations, see RRS 1.2.001, or in records disposition logs, see RRS 1.2.010.	
16.3.050	Wanted Persons Files	Records received on persons wanted by other law enforcement agencies.	AV		URRS-431	
16.3.051	Warning Citations	Warning citations issued for violations of motor vehicle laws or for those violations of the penal code (e.g., criminal trespass) in which the issuance of warning citations is customary.	AV		URRS-423	

Retention Codes (field 7)

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Archival Codes (Field 10)

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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
16.3.052	Weapons Records - Disposition	Records documenting the disposition of police weapons, including but not limited to buy-back programs, trade-ins and upgrades with vendors.	3		URRS-403	
16.3.053	Weapons Records - Inspection and Repair	Records of inspection and repair of weapons.	LA		URRS-402	
16.3.054	Weapons Records - Inventory	Inventories of weapons.	US+3		URRS-404	
16.3.055	Weapons Records - Issuance	Logs for issuing weapons, such as guns and tasers, to officers.	AC+3		URRS-401 AC = Return of weapon.	

Section 16.4 – Housing and Dining

Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
16.4.001	Alcoholic Beverage Control Records	This series is used to provide a record of annual and temporary event licensing for dispensing and serving alcoholic beverages. This series may include but is not limited to: alcohol use requests or waivers, applications for event licenses or permits, and related documentation and correspondence.	AC+3		URRS-241 AC = Date of event.	
16.4.002	Menus	This series is used to provide a record of approved menus in each food service location. It is also used for cost planning and ordering of food and supplies.	AV		URRS-242 CAUTION: If menu's primary function is providing a price list, see RRS 5.1.012.	

Retention Codes (field 7)

AC – See event trigger for specific records series definition
 AV – Administratively valuable
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Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
16.4.003	Student Housing Applications	Applications and selection decision documentation for applications that do not result in occupancy. May also include consumer reports and authorizations to obtain credit information.	AC+1		URRS-443 AC = End of application term. CAUTION: If the institution obtains credit report information, then records created under this series must be retained 5 years beyond the application term. Fair Credit Reporting Act (FCRA), 15 USC 1681p. For applications that do result in occupancy, see URRS 16.4.005.	
16.4.004	Student Housing Judicial Record	This series provides a record of the disposition of appeals made by residents who violated housing policies and were assessed penalties for failing to follow terms of their housing or food service contracts. This series may include but is not limited to: students' appeals stating their reasons for seeking modification of contract terms; decisions from the director of housing, including instructions for further appeal if students have additional relevant information and desire to proceed; and related documentation and correspondence.	AC+4		URRS-238 AC = Expiration of contract or resolution of incident, whichever is later. CAUTION: See URRS 16.3.027 for incidents referred to law enforcement. See URRS 15.5.007 for incidents that result in disciplinary action.	

Retention Codes (field 7)

AC – See event trigger for specific records series definition
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Archival Codes (Field 10)

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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
16.4.005	Student Housing Tenant Records	This series provides a record of occupancy in all institution administered housing -- residence halls, family housing, or cooperative housing. This series may include but is not limited to: housing applications and contracts; proof of admission records; and related documentation and correspondence.	AC+4		URRS-239 AC = End of student's occupancy or, for contracts, expiration of contract.	

Section 16.5 Other University Services

Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
16.5.001	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		URRS-246 AC = Date of last contact. CAUTION: See URRS 16.1.034 for counseling records.	

Retention Codes (field 7)

AC – See event trigger for specific records series definition
 AV – Administratively valuable
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Retention Codes (Field 10)

FE – Fiscal year end
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Archival Codes (Field 10)

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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
16.5.002	Career Counseling and Placement Records	Used to assist students in planning career goals and objectives. This series also provides prospective employers with a record of students' scholastic and personal data. This series may include but is not limited to: career goals; academic credentials; personal data; work experience; honors; distinctions; consent forms for release of information; records regarding graduation or last date of attendance; and related information.	AC+5		URRS-250 AC = Graduation or date of last attendance.	
16.5.003	Child and Youth Program Participant Records	This series documents the participation of children and youth in programs sponsored by the institution. The series may include but is not limited to: applications; enrollment records; progress reports and assessments; immunization records; parental consent forms; activity records; lists of attendees; and related correspondence.	AC+3		URRS-254 AC = End of program session or student separation from program, as applicable.	
16.5.004	Child-Care Center Records - Health-Care Professional Recommendations/Orders	Includes healthcare professional recommendations or orders for providing specialized medical assistance to the child.	AC+3 MO		URRS-442 AC = Health-care professional has indicated that the specialized medical assistance is no longer needed.	40 TAC 746.603(a)(10) and (b)(2).

Retention Codes (field 7)

AC – See event trigger for specific records series definition
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Archival Codes (Field 10)

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

Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
16.5.005	Child-Care Center Records - Individual Child	Enrollment agreement; admission information; statement of child's health from a health-care professional; immunization records; tuberculin testing information and hearing/vision tests (if applicable); Licensing Incident/Illness Report form.	AC+3 MO		URRS-245 AC = Child's last day in care.	40 TAC 746.603(a)(1-8) and (b)(3), 40 TAC 746.801(1).
16.5.006	Child-Care Center Records - Licensing, Safety, and Compliance	Child-care center administrative records required by the Texas Department of Family and Protective Services under 40 TAC §746.801.	3 MO		URRS-339 CAUTION: Refer to the Texas State Records Retention Schedule for personnel and training records, including employee attendance records.	40 TAC 746.801 and 746.803.
16.5.007	Child-Care Center Records - Medication Administration	Medication logs, instructions, and other records related to the administration of medication to children in the child-care facility's care.	AC+3 MO		URRS-441 AC = Administration of medication. CAUTION: See URRS 16.5.004 for health-care professional recommendations or orders for specialized medical assistance.	40 TAC 746.603(a)(9) and (b)(1).
16.5.008	Identification Card Administration Records	This series includes images, application forms, or similar records documenting the issuance of identification cards to university students, staff, or faculty.	AC		URRS-252 AC = Until superseded or expired. CAUTION: For records documenting the issuance of keys, identification cards, or similar instruments of access to university facilities, see RRS 5.4.012.	

Retention Codes (field 7)

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Archival Codes (Field 10)

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

Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
16.5.009	Non-Institution Student Records	This series documents and tracks the application, selection, and progress in special instructional programs of elementary through high school and non-institution students belonging to special, minority, or disadvantaged groups. Examples of programs to which this series applies are Science and Mathematics Investigative Learning Experiences (SMILE), Upward Bound, High School Equivalency, and other non-institution programs. This series may include but is not limited to: application and admission documentation; personal and family information; medical and health documentation; selection and decision making documentation; Educational Opportunity Program (EOP) documentation; notification of admission and non-admission; recommendations and evaluative materials; copies of academic records; counseling and advising notes and documentation; housing and conduct documentation; federal student aid reports; risk release and insurance forms; immigration and citizenship documentation; financial responsibility records; reports; and related documentation and correspondence.	AC+3		URRS-299 AC = Student separation from program.	

Retention Codes (field 7) AC – See event trigger for specific records series definition AV – Administratively valuable CE – Calendar year end	FE – Fiscal year end LA – Life of Asset PM – Permanent US – Until Superseded	Archival Codes (Field 10) A/I – Transfer to State/University Archivist R/O – Review by State/University Archivist
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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
16.5.010	Recruiters Records	This series provides a record of recruiter visits to the campus to participate in job fairs or conduct job interviews. This series may include but is not limited to: scheduling calendars; recruiter schedules; Affirmative Action statements; recruiter information forms; lists of interviewees; feedback forms from recruiters; and related documentation and correspondence.	2		URRS-247	

Retention Codes (field 7) AC – See event trigger for specific records series definition AV – Administratively valuable CE – Calendar year end	FE – Fiscal year end LA – Life of Asset PM – Permanent US – Until Superseded	Archival Codes (Field 10) A/I – Transfer to State/University Archivist R/O – Review by State/University Archivist
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Category 17: Academic Affairs

Section 17.1 – General Academic Affairs

Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
17.1.001	Academic Program Administrative Records	This series documents the daily and routine administration of academic programs of the department or college. This series may include but is not limited to: registration reports; add-drop analyses and reports; course enrollment summaries by class; graduation summaries; majors by class level; international activities; cooperative ventures; summer term classes and enrollment reports; placement information; convenience copies of reports prepared by admissions, registrar's, and other offices; memos; working papers; and related documentation and correspondence.	5	O	URRS-273	
17.1.002	Class Scheduling Records - Published Schedule of Classes	This series documents the formulation of class schedules by academic departments for inclusion in the published schedule of classes. This series includes the final edition of the schedule of classes.	PM	O	URRS-271	

Retention Codes (field 7)

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Archival Codes (Field 10)

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

Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
17.1.003	Class Scheduling Records - Working Files	This series documents the formulation of class schedules by academic departments for inclusion in the published schedule of classes. This series may include but is not limited to: requests from departments for class offerings; deviation from schedule forms; copies of course schedule maintenance forms; requests for class changes; working papers; and related documentation and correspondence.	1		URRS-270	
17.1.004	Commencement Records	This series documents commencement program planning and implementation at the institution. This series may include but is not limited to: commencement attendance forms; planning records created by commencement committees or other planning groups; and related documentation and correspondence.	AC+4	O	URRS-256 AC = After commencement events.	
17.1.005	Continuing Education Course Records - Final Reports	This series documents for-credit and not-for-credit course offerings and individual course contents as offered by Continuing Education (also called "extension" classes). This series comprises final and summary reports, including Texas Higher Education Coordinating Board (THECB) Report CBM00X, for students in self-supporting courses and programs.	PM	O	URRS-269	

Retention Codes (field 7)

AC – See event trigger for specific records series definition
 AV – Administratively valuable
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Archival Codes (Field 10)

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

Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
17.1.006	Continuing Education Course Records - Working Files	This series documents for-credit and not-for-credit course offerings and individual course contents as offered by Continuing Education (also called "extension" classes). These records include: syllabi; course descriptions; course outlines; course request proposals; enrollment reports; course summaries; request for undergraduate and graduate course and instructor approval forms; nominations to the undergraduate faculty; course announcements; handout materials; budget requests; budget status forms; vouchers; and related documentation and correspondence.	5		URRS-268 CAUTION: Some of these records may affect accreditation and should be kept long enough to meet accreditation cycle requirement.	
17.1.007	Cooperative Program Records - Administrative	This series documents the institution's participation in cooperative and shared educational or research programs. Such programs may share research facilities and resources or instructional programs such as programs permitting student matriculation at member institutions. This series may include but is not limited to: information on requirements and application procedures; committee minutes; meeting agendas; and memos of interpretation and understanding.	PM	O	URRS-21	

Retention Codes (field 7)

AC – See event trigger for specific records series definition
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Archival Codes (Field 10)

A/I – Transfer to State/University Archivist

R/O – Review by State/University Archivist

Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
17.1.008	Cooperative Program Records - Program Records	This series documents the institution's participation in cooperative and shared educational or research programs. Such programs may share research facilities and resources or instructional programs such as programs permitting student matriculation at member institutions. This series may include but is not limited to: applications and eligibility certificates; working papers; fiscal records; and related documentation and correspondence.	AC+7		URRS-20 AC = Termination of program or agreement.	
17.1.009	Course Records	This series provides a record of departmental course offerings and individual course contents. This series may include but is not limited to: syllabi; course descriptions; course outlines; course summaries; course requests and proposals; curriculum approval lists; lists of classes by term; bibliographies; reading lists; course announcements; handout materials; and related documentation and correspondence.	AC+2		URRS-267 AC = End of semester in which course is taught.	Texas Education Code Section, 51.974.
17.1.010	Course Schedule Maintenance Forms	This series documents requests for changes to be made to the institutional catalog and schedule of classes. The forms include: course numbers; course titles; locations; grading modes; course descriptions; designators; fees; and credit hours.	2		URRS-266	

Retention Codes (field 7)

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Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
17.1.011	Degree Program Proposal, Development and Review Records - Working Files	This series provides a record of planning and discussions relating to the implementation of new undergraduate and advanced degree programs and any major reorganization or changes to established programs. This series may include but is not limited to: working papers; letters of support; review agendas; faculty status reports; and related documentation and correspondence.	5		URRS-262	
17.1.012	Degree Program Proposal, Development and Review Records - Final Reports, Minutes, Proposals, and Degree Program Reviews	This series provides a record of planning and discussions relating to the implementation of new undergraduate and advanced degree programs and any major reorganization or changes to established programs. This series may include but is not limited to: final reports; curriculum committee meeting minutes; curriculum proposals; and reviews of individual degree programs by campus and off-campus sources.	PM	O	URRS-263	

Retention Codes (field 7)

AC – See event trigger for specific records series definition
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Archival Codes (Field 10)

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

Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
17.1.013	Non-University Student Program Administration Records - Policy and Program Development Records	This series documents the administrative activities of special instructional and support programs directed to serve elementary through high school and non-institution students belonging to special, minority, or disadvantaged groups. Examples of programs to which this series applies are Science and Mathematics Investigative Learning Experiences (SMILE), Upward Bound, High School Equivalency, and other special non-institution student programs. This series comprises policy and program planning and development documentation.	PM	O	URRS-265	

Retention Codes (field 7) AC – See event trigger for specific records series definition AV – Administratively valuable CE – Calendar year end	FE – Fiscal year end LA – Life of Asset PM – Permanent US – Until Superseded	Archival Codes (Field 10) A/I – Transfer to State/University Archivist R/O – Review by State/University Archivist
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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
17.1.014	Non-University Student Program Administration Records - Working Files	This series documents the administrative activities of special instructional and support programs directed to serve elementary through high school and non-institution students belonging to special, minority, or disadvantaged groups. Examples of programs to which this series applies are Science and Mathematics Investigative Learning Experiences (SMILE), Upward Bound, High School Equivalency, and other special non-institution student programs. This series may include but is not limited to: evaluations of courses, support services, and instructors; program course outlines; tuition payment records; reports; statistical reports; working papers; and related documentation and correspondence.	5		URRS-264	
17.1.015	Space Deficit/Allocation Records	This series includes documents used to determine the university's space deficit for purposes of the legislative allocation of funds to universities.	AC+6		URRS-261 AC = September 1 of odd-numbered calendar years. CAUTION: For records relating to the reservation of rooms for classes and events, see RRS 5.2.026.	

Retention Codes (field 7)

AC – See event trigger for specific records series definition
 AV – Administratively valuable
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Archival Codes (Field 10)

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

Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
17.1.016	Special Academic Programs Records - Policy and Program Development Records	This series documents the administrative activities of special academic programs serving and aiding institution students. Programs documented by this series range from special requirement and certification programs to programs aimed at assisting and encouraging target groups of institution students. Included are the National Student Exchange (NSE) program; English language programs; honors programs; minority scholars programs; minority student recruitment programs; disabled student programs; non-traditional student programs; educational opportunities programs; older than average student programs; Native American science programs; study abroad programs; and other special academic programs. This series may comprise policy and program planning and development reports and documentation.	PM	O	URRS-260	

Retention Codes (field 7) AC – See event trigger for specific records series definition AV – Administratively valuable CE – Calendar year end	FE – Fiscal year end LA – Life of Asset PM – Permanent US – Until Superseded	Archival Codes (Field 10) A/I – Transfer to State/University Archivist R/O – Review by State/University Archivist
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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
17.1.017	Special Academic Programs Records - Working Files	This series documents the administrative activities of special academic programs serving and aiding institution students. Programs documented by this series range from special requirement and certification programs to programs aimed at assisting and encouraging target groups of institution students. Included are the National Student Exchange (NSE) program; English language programs; honors programs; minority scholars programs; minority student recruitment programs; disabled student programs; non-traditional student programs; educational opportunities programs; older than average student programs; Native American science programs; study abroad programs; and other special academic programs. This series may include but is not limited to: explanatory materials on the program; notes; evaluations of courses, support services, and instructors; program course outlines; tuition payment records; program participation and aid selection records; activity accounting records; working papers; reports; and related documentation and correspondence.	7		URRS-259	

Retention Codes (field 7) AC – See event trigger for specific records series definition AV – Administratively valuable CE – Calendar year end	FE – Fiscal year end LA – Life of Asset PM – Permanent US – Until Superseded	Archival Codes (Field 10) A/I – Transfer to State/University Archivist R/O – Review by State/University Archivist
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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
17.1.018	Student Faculty/Course Evaluation Records - Non-Tenure Track Faculty	This series documents students' evaluations of non-tenure track teaching personnel and is used to help determine faculty promotion, merit increases and/or to review instructional courses and programs. These records provide students' opinions on faculty members' familiarity with current literature of the discipline, preparation, assignments, examinations, lecture styles, willingness to engage in dialogue, and availability. Records include: bubble forms (input documents); course reaction inventory printouts; statistical tabulations; summary reports; and related documentation and correspondence.	AC+3		URRS-507 AC = After course is completed.	

Retention Codes (field 7) AC – See event trigger for specific records series definition AV – Administratively valuable CE – Calendar year end	FE – Fiscal year end LA – Life of Asset PM – Permanent US – Until Superseded	Archival Codes (Field 10) A/I – Transfer to State/University Archivist R/O – Review by State/University Archivist
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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
17.1.019	Student Faculty/Course Evaluation Records - Tenure Track Faculty	This series documents students' evaluations of tenure-track teaching personnel and is used to help determine faculty tenure, promotion, merit increases and/or to review instructional courses and programs. These records provide students' opinions on faculty members' familiarity with current literature of the discipline, preparation, assignments, examinations, lecture styles, willingness to engage in dialogue, and availability. Records include: bubble forms (input documents); course reaction inventory printouts; statistical tabulations; summary reports; and related documentation and correspondence.	7		URRS-258 CAUTION: Retention period should be longer if a university's tenure review cycle is longer than 7 years.	

Retention Codes (field 7) AC – See event trigger for specific records series definition AV – Administratively valuable CE – Calendar year end	FE – Fiscal year end LA – Life of Asset PM – Permanent US – Until Superseded	Archival Codes (Field 10) A/I – Transfer to State/University Archivist R/O – Review by State/University Archivist
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Section 17.2 – Accreditation

Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
17.2.001	Professional Accreditation Records - Working Files	This series documents the accreditation process for the colleges, units, and related programs. The series provides a record of materials compiled for inclusion in a report packet sent to the appropriate professional accreditation board for the specific program or service and usually includes statements on mission, finance, educational programs and departments/divisions make up. Most accreditation organizations produce an evaluation report based on the packet and on-site inspection, which is used to determine accreditation for the units and their programs. This series may include but is not limited to: statistical data; working papers; and related documentation and correspondence.	AC		URRS-274 AC = End of 2 accreditation cycles.	

Retention Codes (field 7) AC – See event trigger for specific records series definition AV – Administratively valuable CE – Calendar year end	FE – Fiscal year end LA – Life of Asset PM – Permanent US – Until Superseded	Archival Codes (Field 10) A/I – Transfer to State/University Archivist R/O – Review by State/University Archivist
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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
17.2.002	Professional Accreditation Reports	This series documents the accreditation process for the colleges, units, and related programs. The series provides a record of materials compiled for inclusion in a report packet sent to the appropriate professional accreditation board for the specific program or service and usually includes statements on mission, finance, educational programs and departments/divisions make up. Most accreditation organizations produce an evaluation report based on the packet and on-site inspection, which is used to determine accreditation for the units and their programs. This series may include but is not limited to: self-evaluation reports; final reports sent to accreditation organization; accreditation organization evaluation report; and related documentation and correspondence.	PM	O	URRS-275	

Retention Codes (field 7) AC – See event trigger for specific records series definition AV – Administratively valuable CE – Calendar year end	FE – Fiscal year end LA – Life of Asset PM – Permanent US – Until Superseded	Archival Codes (Field 10) A/I – Transfer to State/University Archivist R/O – Review by State/University Archivist
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Section 17.3 – Research

Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
17.3.001	Animal Breeding and Management Records	This series includes records relating to the care, management and breeding of animals for research and teaching purposes.	AC		URRS-279 AC = Life of animal or transfer of animal to another institution. CAUTION: If the research facility has been notified in writing that specified records shall be retained pending completion of an investigation or proceeding, the research facility shall hold those records until their disposition is authorized in writing by the United States Department of Agriculture, Animal and Plant Health Inspection Service.	7 USC 2131 B 2157, 9 CFR 2.35, Public Health Service (PHS) Policy on Humane Care and Use of Laboratory Animals (D.L. 99-158).
17.3.002	Denied Research Grant Proposal Applications Records	This series documents grant proposals developed by institutional units which have not been funded. This series may include but is not limited to: supporting statistics; demographic data; draft proposals; suggested revisions; final proposals; and related documentation and correspondence.	AC+2		URRS-295 AC = Date of notification.	

Retention Codes (field 7)

AC – See event trigger for specific records series definition
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Archival Codes (Field 10)

A/I – Transfer to State/University Archivist

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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
17.3.003	Institutional Animal Care and Use Committee (IACUC) Records - Committee Records	This series includes meeting minutes, records of attendance, activities of the Committee, Committee deliberations, records of proposed activities involving animals and proposed significant changes in activities involving animals, and whether IACUC approval was given or withheld, and semiannual IACUC reports and recommendations (including minority views).	AC+3		URRS-289 AC = Completion of the activity. CAUTION: If the research facility has been notified in writing that specified records shall be retained pending completion of an investigation or proceeding, the research facility shall hold those records until their disposition is authorized in writing by the United States Department of Agriculture, Animal and Plant Health Inspection Service.	9 CFR 2.35.
17.3.004	Institutional Biosafety Committee Minutes	This series includes meeting minutes of the Biosafety Committee.	5		URRS-291	
17.3.005	Institutionally Funded Research - Minutes and Final Research Reports	This series documents the activities of the institutional councils and boards, which review proposals and make recommendations for awards to faculty for research that is not otherwise supported by organized or directed programs but is designed to lead to other funding sources. Examples of projects funded are pilot research, emergency funding, emerging research opportunities, new research field or new research field for investigator, developing research laboratories, and centrally shared research resources. This series includes meeting minutes and final research reports.	PM	O	URRS-288	

Retention Codes (field 7)

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Archival Codes (Field 10)

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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
17.3.006	Institutionally Funded Research - Project Funding Review	This series documents the activities of the institutional councils and boards, which review proposals and make recommendations for awards to faculty for research that is not otherwise supported by organized or directed programs but is designed to lead to other funding sources. Examples of projects funded are pilot research, emergency funding, emerging research opportunities, new research field or new research field for investigator, developing research laboratories, and centrally shared research resources. This series may include but is not limited to: project financial reports and funding summaries.	FE+3		URRS-287	

Retention Codes (field 7) AC – See event trigger for specific records series definition AV – Administratively valuable CE – Calendar year end	FE – Fiscal year end LA – Life of Asset PM – Permanent US – Until Superseded	Archival Codes (Field 10) A/I – Transfer to State/University Archivist R/O – Review by State/University Archivist
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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
17.3.007	Institutionally Funded Research - Project Review Records	This series documents the activities of the institutional councils and boards, which review proposals and make recommendations for awards to faculty for research that is not otherwise supported by organized or directed programs but is designed to lead to other funding sources. Examples of projects funded are pilot research, emergency funding, emerging research opportunities, new research field or new research field for investigator, developing research laboratories, and centrally shared research resources. This series may include but is not limited to: applicant case files; agendas; notes; working papers; award letters; and applications for research support.	AC+5		URRS-286 AC = Date of notification.	
17.3.008	Intellectual Property Agreements	Includes license agreements, know-how agreements, and other contractual agreements resulting from the licensing of technology or the transfer of intellectual property.	AC+7	O	URRS-74 AC = Completion of all terms and extensions of the agreement. CAUTION: Does not include patent records. See URRS 17.3.011.	OMB Circular A-110.53 authorized by 31 U.S.C. 503, 31 U.S.C. 1111, 41 U.S.C. 405, and E.O. 11541.

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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
17.3.009	Patent and Invention Records - Auxiliary Files	This series documents the transfer of technology from the institution to outside agencies as the result of research projects and grants carried out at the institution. This series may include but is not limited to: patent applications; agreements giving permission for institutional researchers to use other patented inventions in their research; and related documentation and correspondence; descriptions and titles of inventions; sources of funding to create the inventions; details of the provenance of the inventions and their documentation; suggested manufacturers; reports issued concerning the inventions; and signatures of inventors and technically qualified witnesses.	7	O	URRS-276	
17.3.010	Patent and Invention Records - Denied or Not Pursued	This series includes records relating to disclosures or applications for patents that are either not filed or otherwise pursued by the university, or which are denied by the US Patent and Trademark Office (USPTO).	AC+7	O	URRS-512 AC = Date of last office action or related correspondence in file. These patent applications remain confidential unless published by the US Patent and Trademark Office or an international patent office.	

Retention Codes (field 7)

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Archival Codes (Field 10)

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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
17.3.011	Patent and Invention Records - Patents, Licensing, and Disclosure Records	This series documents the transfer of technology from this institution to outside agencies as the result of research projects and grants carried out at the institution. This series includes: original patents; international licensing agreements; and invention disclosure forms that list the names of the inventors and to whom the inventions have been disclosed.	AC+6		URRS-277 AC=Expiration of the patent.	
17.3.012	Research Data - Non-Grant Funded Projects	This series documents the routine research activities of research projects that are not funded by grants and are not subject to any state or federal guidelines. This series may include but not limited to: details of tests, client names, procedures performed, test results, evaluations, notebooks, binders, spreadsheets, or any other type of journal format, the care and proposed use of animals by the university for research purposes, institutional animal care and use forms, research proposal check-off forms, results of laboratory testing performed on agricultural products, case numbers, genetic trials, disease and pest management testing, and related data and correspondence.	AV		URRS-281 For research data related to grant-funded or sponsored research, see URRS 17.3.014.	

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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
17.3.013	Research Grant Records - Final Research Report	These records relate to final research reports given to a granting agency or sponsor for grant-funded or sponsored research projects.	AC+7	O	URRS-287 AC = Expiration or termination of the grant or agreement according to its terms. CAUTION: Grants may have individual guidelines for retention. Records must be retained in accordance with guidelines of grant or contract.	NIH Guidelines, OMB Circular A: 110-.53.
17.3.014	Research Grant Records - Working Files	These records relate to funded research grant proposals, and research activity associated with sponsored or grant-funded projects.	AC+7		URRS-296 AC = Close of grant. CAUTION: Grants and sponsors may have individual guidelines for retention. Records must be retained in accordance with guidelines of grant or contract. Federal grant records should comply with uniform administrative requirements for grants and cooperative agreement to state and local governments. Universities should ensure that they are following all university policies as well as sponsor/grant requirements when deciding what kinds of records should be included in this series and when considering intellectual property agreements for these records.	45 CFR 46.115(b), NIH Guidelines, OMB Circular A: 110-.53.

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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
17.3.015	Research, Clinical, and Teaching Drug Inventory Records	This series documents the daily inventory of drugs and controlled substances held by units for clinical, instructional, and research uses. These records include daily shift inventory logs listing descriptions, quantities, and initials of pharmacists conducting the inventories.	2		URRS-255	21 CFR 1304.04(a).
17.3.016	Scientific Misconduct Records	This series is used to provide a record of accusations of misconduct brought forward by or against university personnel and affiliates and relating to research projects. These records include: accusation statements; inquiry committee findings; and related correspondence.	AC+7		URRS-278 AC = Completion of proceeding involving the research misconduct allegation.	42 CFR 93.317(b).
17.3.017	Unfunded Research Grant Proposal Development Records	This series includes the administrative activities involved in the formulation and deliberations leading to submitting a grant proposal for research project funding. Examples of records include: correspondence and working papers.	AV		URRS-298	

Retention Codes (field 7)

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Archival Codes (Field 10)

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Category 18: Campus Life

Section 18.1 – Student Activities

Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
18.1.001	Daily Broadcast Logs	Series documents daily broadcast activities of the institutional radio station or television channel. Records include: log sheets showing time signed on and off; any delays in broadcasting; engineer's name; announcer's name; and technical difficulties.	3		URRS-307 CAUTION: It is an exception to the retention period indicated that logs involving communications incident to a disaster or which include communications incident to or involved in an investigation by the FCC and about which the licensee has been notified, shall be retained by the licensee until specifically authorized in writing by the Federal Communications Commission (FCC) to destroy them. In addition, logs incident to or involved in any claim or complaint of which the licensee has notice shall be retained by the licensee until such claim or complaint has been fully satisfied or until the same has been barred by statute limiting the time for filing of suits upon such claims.	47 CFR 73.1840(a), 47 CFR 73.1800, 47 CFR 73.1820.

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Archival Codes (Field 10)

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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
18.1.002	Radio and Television License Records	This series provides a record of licensing of university campus radio stations and television channels (including distance education) with the Federal Communications Commission. Records may include: FCC applications; licenses and contracts; related correspondence and other records.	AC+3		URRS-306 AC = Expiration or cancellation of license or permit.	
18.1.003	Student Organization Administrative Records	This series documents the history, development, and policies of campus student organizations. This series may include but is not limited to: constitutions and bylaws; publications (websites, newsletters, fliers, brochures, posters, and other publications); annual review forms; annual reports; meeting minutes and supporting documentation; committee, subcommittee, and task-force records; Student Senate bill and resolution files; budgets; handbooks; officer and member rosters; scrapbooks; photographs; press releases; clippings; social media accounts; and related documentation and correspondence that documents programs, activities, and events.	AV	I	URRS-302 CAUTION: Faculty sponsors of student organizations should remind students that many of the electronic records they create for the organization are records that must be retained and then transferred to the University Archives, and that students must take care to retain these records in whatever manner the University decides is best.	

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Section 18.2 – Intercollegiate Athletics

Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
18.2.001	Athletic Eligibility Records	Academic progress reports used to provide a record of verification by intercollegiate athletics of student athletes' academic progress to the National Collegiate Athletic Association (NCAA) or National Association of Intercollegiate Athletics (NAIA).	AC+10		URRS-337 AC = Student separation from the department or university.	
18.2.002	Athletic Scholarship and Grant-In-Aid Award Records – National Collegiate Athletic Association (NCAA) Records	This series is used to provide athletic departments with information pertaining to player eligibility and receipt of financial aid in the form of scholarships including grant-in-aid scholarships, to monitor accounts, and to assist in complying with NCAA, and conference rules and regulations. These records include: squad lists which furnish summary information; conference eligibility reports; team roster update sheets; scholarship count sheets showing who is on the schedule to receive aid; applications; nominee lists; eligibility questionnaires; eligibility reports which determine years of eligibility unused; credit voucher request sheets notes; and related documentation and correspondence.	10		URRS-161	

Retention Codes (field 7)

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Archival Codes (Field 10)

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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
18.2.003	Athletic Scholarship and Grant-In-Aid Award Records - All records Except NCAA	This series is used to provide athletic departments with information pertaining to player eligibility and receipt of financial aid in the form of scholarships including grant-in-aid scholarships, to monitor accounts, and to assist in complying with NAIA and conference rules and regulations. These records include: squad lists which furnish summary information; conference eligibility reports; team roster update sheets; scholarship count sheets showing who is on the schedule to receive aid; applications; nominee lists; eligibility questionnaires; eligibility reports which determine years of eligibility unused; credit voucher request sheets notes; and related documentation and correspondence.	5		URRS-160	
18.2.004	Catastrophic Injury Insurance Records	This series documents on-going insurance activity on cases that qualified for catastrophic status by having claims of over \$50,000 for NCAA schools and \$25,000 for NAIA schools in the first two years of the claim. This series may include but is not limited to: accident reports; annual insurance questionnaires; notes; claim forms; and related documentation and correspondence.	AC+5		URRS-336 AC = Closure of claim.	

Retention Codes (field 7)

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Archival Codes (Field 10)

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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
18.2.005	Competition Record - NCAA Reporting Requirements	This series provides a summary record of individual games and competitions and is used to comply with NCAA and NAIA reporting requirements for both revenue and non-revenue producing sports. Information on the individual forms includes: sport name; opponent name; date; event location; final score; player names and positions; time played per athlete; and the signature of the head coach or athletic director.	10		URRS-334	
18.2.006	Competition Scheduling Records	This series documents competition schedules set up with other institutions by coaches and the athletic director. This series may include but is not limited to: correspondence; phone notes; contracts; final schedules; and related documentation and correspondence.	AC+7		URRS-319 AC = Expiration of contract.	
18.2.007	Drug Test Records - Negative Results	This series is used to provide the athletic director with a record of the negative results of drug testing done on student athletes. These records include: lab reports; interpretations; and related documentation and correspondence.	2		URRS-322	

Retention Codes (field 7)

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Archival Codes (Field 10)

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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
18.2.008	Drug Test Records - Positive Results	This series is used to provide the athletic director with a record of the positive results of drug testing done on student athletes. These records include: lab reports; interpretations; and related documentation and correspondence.	AC+5		URRS-323 AC = End of eligibility.	
18.2.009	Game Arrangement Records	This series is used to provide a reference record of arrangements made for and the schedules of past games. This series may include but is not limited to: team practice schedules; team position assignments/depth charts; itineraries; bus lists; notes; and related documentation and correspondence.	AC+5		URRS-332 AC = End of sport season.	
18.2.010	Game Day Totals	This series documents the total ticket and concession sales, including concession items other than food or drink and NCAA licensed merchandise, for each sporting event.	FE+3		URRS-311	
18.2.011	Game Officials' Evaluation Forms	This series is used to provide a record of the head coach's evaluation of judging officials' performance at individual football games. The series is also used to comply with NCAA, NAIA and conference rules and regulations. Information on the individual forms includes: team names; site; game date; judging officials' names; evaluative scores; comments; and coach's signature.	1		URRS-331	

Retention Codes (field 7)

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Archival Codes (Field 10)

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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
18.2.012	Game Statistics	This series documents the practice, playing, and attendance statistics about each game and the season for each sport by playing year. This series may include but is not limited to: player academic statistics; attendance figures; player training charts; season and game player statistics; recruitment records; special teams statistics; rankings; awards information; NAIA and NCAA game statistics; media releases; all-conference nominations; spring and fall camp depth charts; numerical rosters; media guides; narrative reports on games and scrimmages; final team statistics for each game; NAIA and NCAA official scoring summaries; play-by-play written reports; and related documentation and correspondence.	75	0	URRS-330	
18.2.013	Game Tickets and Ticket Orders	This series documents the sale and purchase of season passes and game day tickets. This series may include but is not limited to: extra game tickets, ticket orders, season pass order forms, and ticket stubs.	FE+3		URRS-309	

Retention Codes (field 7)

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Archival Codes (Field 10)

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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
18.2.014	Individual Athletes Records - Confidential	This series includes confidential records of the athletic history of each athlete who has competed at the institution. Frequently, this series is a continuation of the recruitment file and includes recruitment records if an athlete signs a letter of intent. This series may include but is not limited to: academic major information including performance reports, admissions verification reports, academic transcripts, and financial aid information, recruitment information documents, and related documentation and correspondence.	AC+5		URRS-327 AC = Date of separation from the institution. See URRS 18.2.015 for records relating to the public profile of the athlete.	
18.2.015	Individual Athletes Records - Public Profile	This series documents the athletic history of each athlete who has competed at the institution. Frequently, this series is a continuation of the recruitment file and includes recruitment records if an athlete signs a letter of intent. Records may include and may not be limited to: academic major information including performance reports, admissions verification reports, recruitment information documents, media articles; photographs, release of information forms, personal data questionnaires, records of awards, and related documentation and correspondence.	PM	O	URRS-326 See URRS 18.2.014 confidential records of the athlete.	

Retention Codes (field 7)

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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
18.2.016	Play Books	This series documents the strategies, practice time and game plays for each game in the season. This series may include but is not limited to: practice plans; game plans; and game results.	5		URRS-324	
18.2.017	Practice Schedule Records	This series is used to monitor practice time for athletic teams and assist in complying with NCAA, NAIA and conference rules and regulations. This series contains team rosters indicating time spent in: practices; meetings; training and conditioning; and competition.	5		URRS-321	

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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
18.2.018	Recruiting Records - Athletics	This series documents the recruitment of athletes into the institution's intercollegiate athletics program. The series also provides a record of the recruitment process for prospective players created by the institution to comply with NCAA, NAIA and conference rules and regulations. This series may include but is not limited to: the institution's football questionnaire forms with personal, scholastic, football, general, and transcript release information; information request cover sheets; grade transcripts; Information for Certification of NCAA Freshman Athletics Eligibility Compliance (with By-Law 5-1-j forms, number 40-c); letters of intent; copies of admissions forms and materials; performance reports; telephone and conversation notes; mailing lists; and related documentation and correspondence.	AC+5		URRS-320 AC = End of eligibility.	
18.2.019	Sports Merchandising Records	This series documents the sale of institutional and NCAA or NAIA-licensed merchandise at sporting events. This series may include but is not limited to: sales reports; merchandise comment sheets; and related correspondence.	FE+3		URRS-318	

Retention Codes (field 7)

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 R/O – Review by State/University Archivist

Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
18.2.020	Student Athlete Insurance Records - Collegiate Insurance	This series documents medical treatment services rendered off campus for practice or playing related injuries or illnesses which are eligible for partial payment by intercollegiate athletic insurance. This series may include but is not limited to: copies of policies; accident reports; annual insurance questionnaires; notes; claim forms; negotiations correspondence; payment of insurance records; and related documentation and correspondence.	AC+7		URRS-325 AC = Last date on which service was given or until the patient's 21st birthday, whichever later.	22 TAC 165.1(b).
18.2.021	Student Athlete Insurance Records - Secondary Coverage Insurance	This series documents the verification and payment of secondary coverage insurance claims of injured student athletes. This series may include but is not limited to: lists of requests for claims payment; transmittal letters for reimbursement of the institution; proof of loss forms; intercollegiate athletic reports; ledgers of providers, payment amounts, and reference numbers; and related documentation and correspondence.	AC+7		URRS-335 AC = Claim settled.	

Retention Codes (field 7)

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

FE – Fiscal year end

LA – Life of Asset
 PM – Permanent
 US – Until Superseded

Archival Codes (Field 10)

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

Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
18.2.022	Student Athletes Academic Advising Records	This series documents academic advising of prospective and current student athletes, provides records of academic progress while students are involved in athletic programs at the institution, and complies with NCAA, NAIA and conference reporting requirements. These records include: letters of intent; renewals of letters of intent; transcripts; grade reports; petitions; academic evaluations; advanced standing reports; advisors' report sheets showing progress towards academic degree; program planning sheets; NCAA Progress Reports; students' requests for release from athletic programs; disciplinary memoranda; and related correspondence.	AC+5		URRS-317 AC = Degree completed or date of last enrollment.	
18.2.023	Student Athletes Dining Rosters	This series documents the meals consumed by student athletes as part of the training table. This series may include but is not limited to: rosters with the names of athletes partaking of meals and absent from meals; menus; and related documentation and correspondence.	2		URRS-316	

Retention Codes (field 7)

AC – See event trigger for specific records series definition
 AV – Administratively valuable
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Archival Codes (Field 10)

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Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
18.2.024	Student Athletes Medical Records	This series documents the medical history of each athlete before and during his/her attendance at the institution. This series may include but is not limited to: annual health appraisals; authorization to release information forms; treatment consent forms; assumption of risk forms; accident reports; X-rays and X-ray reports; prescription records; off campus treatment source records; insurance questionnaires; psychological counseling records; and related documentation and correspondence.	AC+7		URRS-315 AC = Last date on which service was given or until the patient's 21st birthday, whichever later.	22 TAC 165.1(b).
18.2.025	Ticket Sales and Event Cash Reconciliation Records - Athletics	This series documents the printing, selling, distribution, and accounting of tickets for university-sponsored athletic events where tickets are sold for admission. A portion of athletic event receipts is shared with visiting teams. This series may include but is not limited to: ticket stock orders; ticket type reports; ticket purchase manifest forms; box office balance sheets; ticket printing and control records; season ticket sales lists; receipts and orders for mail, phone, or in-person purchase of tickets; ticket sales summary sheets and reports; free ticket sign-up sheets; lists and reports of free tickets distributed to patrons, contributors, and others; deposit receipts; and related documentation and correspondence.	FE+5		URRS-346 CAUTION: Records should be kept in compliance with NCAA or NAIA requirements, as applicable. See URRS 13.1.001 for ticket sales and reconciliation records for non-athletic events.	

Retention Codes (field 7)

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

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Archival Codes (Field 10)

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Section 18.3 – Faculty and Staff Organizations

Item No.	Record Series Title	Record Description	Total Retention	Archival	Remarks	Legal Citation
18.3.001	Faculty and Staff Election Records	This series documents elections held by various faculty and staff organizations. This series may include but is not limited to: ballots; tabulations; and related documentation.	AC		URRS-338 AC = Results are verified.	

Retention Codes (field 7)

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

FE – Fiscal year end

LA – Life of Asset

PM – Permanent

US – Until Superseded

Archival Codes (Field 10)

A/I – Transfer to State/University Archivist

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