

June 10, 2021



Rick Dillard
Records Management Officer
UT MD Anderson Cancer Center
1515 Holcombe Boulevard, Unit 0105
Houston, TX 77030

Dear Mr. Dillard,

Amendment 2 of the 6th recertification of your agency's records retention schedule is approved for use as of **6/10/2021** and may be accessed on our website at <https://www.tsl.texas.gov/slrn/state/schedules>. Please maintain this amendment with your currently approved schedule so that it can be easily referenced.

We appreciate your efforts in maintaining an up-to-date schedule. Making additions and changes to your schedule as you identify them not only ensures the integrity of your recordkeeping practices, but keeps your agency in compliance with state rules (13 TAC §6.4) requiring the submission of any needed amendments to a retention schedule during its certification period to keep the information in the schedule current.

We will notify you of the date your schedule is due for recertification. Any additional approved amendments to your schedule, such as this one, should be incorporated into your main retention schedule prior to submitting it for recertification.

Thank you again for your commitment to complying with state records management laws and regulations. If we can provide any assistance to you, please contact the Government Information Analyst assigned to your agency:

Erica Siegrist
esiegrist@tsl.texas.gov
(512) 463-6623

Sincerely,

A handwritten signature in blue ink, appearing to read "C Kelso".

Craig Kelso
Director and State Records Administrator

cc: Agency head

Lorenzo de Zavala
State Archives and
Library Building

1201 Brazos Street
Austin, Texas
78701

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

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TSLAC

*Preserving yesterday
Informing today
Inspiring tomorrow*



STATE OF TEXAS
Records Retention Schedule Certification

SLR 105C

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

Section 1. Agency Information

(Submitting agencies complete this section only)

Agency Code 506
 Agency Name The Univ of TX MD Anderson Can Ctr

(Check one)

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

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

(Check one)

- Agency Head
- Records Management Officer

Signature
 Name (Print or type) Rick Dillard
 Date 6/2/2021

Section 2. Approvals

(Submitting agencies do not write in this section)

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

Signature Not Required at This Time
 Name (Print or type) _____
 Date _____

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

Signature
 Name (Print or type) Gloria Mera
 Date 6-10-21

Cert/Recert No. 6 Amendment No. 2

CAUTION

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

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

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

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





STATE OF TEXAS
Records Retention Schedule

SLR 105
 Rev. 2017-07

Retention Codes (field 7)

AC – See field 9 for specific records series definition
 AV – Administratively valuable
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 PM – Permanent
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Archival Codes (Field 10)

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

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					Years	Months	Days				
MDA1	1.1.	Administrative Records - General - Affiliation Agreements		AC	4			AC = Term of Agreement.		Is Microfilmed Once Completed; Subject to Annual Review.	
MDA2	1.1.	Administrative Records - General - Gift Records or Donor Files		PM							
MDA3	1.1.	Administrative Records - General - Copyrights		AC	120			AC = Approval of Applications.			
MDA4	1.1.	Administrative Records - General - Patents, Trademarks & Documentation	(e.g. Research records, reflecting usage & the like).	AC	20			AC = Includes Underlying Patents, Trademarks and Copyrights.			
MDA5	1.1.	Administrative Records - General - Patents, Trademarks & Documentation	(e.g., Research Records, Reflecting Usage & the like).	AC	20			AC = Includes Underlying Patents, Trademarks and Copyrights.			
MDA6	1.1.002	Audits	Audits and reviews performed by or on behalf of an agency, including the working papers that support the audit. Also includes audits performed on the agency.	AC	7			AC = Publication or release of final audit findings.		The State Auditor's Office retains any copies of its audits performed on Texas state agencies.	
MDA7	1.1.002	Audits- Header Audit List	Audits and reviews performed by or on behalf of an agency, including the working papers that support the audit. Also includes audits performed on the agency.	AC	7			AC = Publication or release of final audit findings.		The State Auditor's Office retains any copies of its audits performed on Texas state agencies.	
MDA8	1.1.002	Audits - External Audit Reports	Audits and reviews performed by or on behalf of an agency, including the working papers that support the audit. Also includes audits performed on the agency.	AC	7			AC = Publication or release of final audit findings.		The State Auditor's Office retains any copies of its audits performed on Texas state agencies.	



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MDA9	1.1.002	Audits - Internal Audit Reports	Audits and reviews performed by or on behalf of an agency, including the working papers that support the audit. Also includes audits performed on the agency.	AC	7			AC = Publication or release of final audit findings.		The State Auditor's Office retains any copies of its audits performed on Texas state agencies.	
MDA10	1.1.004	Legislative Appropriation Requests	Including any supporting documentation created and/or used to justify and support legislative appropriations requests by an agency.	AC	6			AC = September 1 of odd numbered calendar years.	I	ARCHIVES NOTE: The archival requirement is met by sending the required copies of the requests to the Texas State Publications Depository Program, Texas State Library and Archives Commission. Only copies of supporting documentation submitted to the Legislative Budget Board are archival.	
MDA11	1.1.006	Complaint Records- Complaint Records	Complaints received by an agency from the public concerning the agency and records pertaining to the resolution of the complaint.	AC	2			AC = Final disposition of the complaint.		CAUTION: If a complaint becomes the subject of litigation, it must be included in and is subject to the minimum retention period of item number 1.1.048.	



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MDA12	1.1.007	Correspondence - Administrative	Incoming/outgoing and internal correspondence pertaining to the formulation, planning, implementation, interpretation, modification, or redefinition of the programs, services, or projects of an agency and the administrative regulations, policies, and procedures that govern them.		4				O	ARCHIVES NOTE: Only the administrative correspondence of executive staff, board or commission members, division directors and program heads require archival review. Contact the State Archives when these records have met their retention periods. CAUTION: This records series and item number 1.1.008 should be used only for correspondence that is not included in or directly related to another records series on the agency's approved schedule. For example, a memorandum that documents an appropriations request must be retained for the minimum retention period prescribed by item number 1.1.004; a letter concerning an audit for that prescribed by item number 1.1.002, etc. SEE ALSO item number 1.1.011	
MDA13	1.1.008	Correspondence - General-The Joint Commission	Non-administrative incoming/outgoing and internal correspondence, in any media, pertaining to or arising from the routine operations of the policies, programs, services, or projects of an agency.		6					SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.	



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MDA13-A	1.1.008	Correspondence - General	Non-administrative incoming/outgoing and internal correspondence, in any media, pertaining to or arising from the routine operations of the policies, programs, services, or projects of an agency.		2					SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.	
MDA13-B	1.1.010	Directives	Any document that officially initiates, rescinds, or amends general office procedures.	US	1						
MDA13-C	1.1.011	Executive Orders	Any document that officially initiates, rescinds, or amends a regulation, policy, or procedure that governs the programs, services, or projects of an agency.	US	3				I		



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					Years	Months	Days				
MDA14	1.1.013	Calendars, Appointment and Itinerary Records-CNSM (Census Nurse Station Master) (Prior Day/Evening Discharges & Admissions)	Calendars, appointment books or programs and scheduling, or itinerary records, purchased with state funds or maintained by staff during business hours that document appointments, itineraries, and other activities of agency officials or employees.	CE	1				O	<p>ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the State Archives when these records have met their retention periods.</p> <p>CAUTION: A record of this type purchased with personal funds, but used by a state official or employee to document his or her work activities may be a state record and subject to this retention period. See Open Records Decision 635 issued in December 1995 by the Attorney General.</p>	



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MDA15	1.1.013	Calendars, Appointment and Itinerary Records-Missed Appointment Requisitions	Calendars, appointment books or programs and scheduling, or itinerary records, purchased with state funds or maintained by staff during business hours that document appointments, itineraries, and other activities of agency officials or employees.	CE	1				O	<p>ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the State Archives when these records have met their retention periods.</p> <p>CAUTION: A record of this type purchased with personal funds, but used by a state official or employee to document his or her work activities may be a state record and subject to this retention period. See Open Records Decision 635 issued in December 1995 by the Attorney General.</p>	



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MDA16	1.1.013	Calendars, Appointment and Itinerary Records- Patient Appointment Cards	Calendars, appointment books or programs and scheduling, or itinerary records, purchased with state funds or maintained by staff during business hours that document appointments, itineraries, and other activities of agency officials or employees.	CE	1				O	<p>ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the State Archives when these records have met their retention periods.</p> <p>CAUTION: A record of this type purchased with personal funds, but used by a state official or employee to document his or her work activities may be a state record and subject to this retention period. See Open Records Decision 635 issued in December 1995 by the Attorney General.</p>	



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					Years	Months	Days				
MDA17	1.1.013	Calendars, Appointment and Itinerary Records	Calendars, appointment books or programs and scheduling, or itinerary records, purchased with state funds or maintained by staff during business hours that document appointments, itineraries, and other activities of agency officials or employees.	CE	1				O	<p>ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the State Archives when these records have met their retention periods.</p> <p>CAUTION: A record of this type purchased with personal funds, but used by a state official or employee to document his or her work activities may be a state record and subject to this retention period. See Open Records Decision 635 issued in December 1995 by the Attorney General.</p>	



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MDA18	1.1.013	Calendars, Appointment and Itinerary Records Designated Funds	Calendars, appointment books or programs and scheduling, or itinerary records, purchased with state funds or maintained by staff during business hours that document appointments, itineraries, and other activities of agency officials or employees.	PM					O	<p>ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the State Archives when these records have met their retention periods.</p> <p>CAUTION: A record of this type purchased with personal funds, but used by a state official or employee to document his or her work activities may be a state record and subject to this retention period. See Open Records Decision 635 issued in December 1995 by the Attorney General.</p>	



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MDA19	1.1.014	Legal Opinions and Advice	From agency legal counsel or the Attorney General, including any requests eliciting the opinions.	AV					O	Must be kept at least 5 years. CAUTION: Does not include legal opinions or advice rendered on a matter in litigation or with regard to pending litigation. SEE item number 1.1.048.	
MDA20	1.1.019	Public Relations Records	News, press releases, or any public relations files maintained or issued by an agency. Includes print, electronic, audio, and audiovisual records.		2				O		
MDA21	1.1.021	Public Information Requests - Exempted	Includes all correspondence and documentation relating to requests for records that are exempt under the Public Information Act (Chapter 552, Government Code).	AC	2			AC = Date of notification that records are exempt.			
MDA22	1.1.020	Public Information Requests - Not Exempted- Fellowship ADA Site Visit Documentation	Includes all correspondence and documentation relating to requests for records that are furnished to the public under Public Information Act (Chapter 552, Government Code).	AC	1			AC = Date request fulfilled.			
MDA23	1.1.023	Organization Charts		US					I		



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MDA24	1.1.024	Plans and Planning Records- Good Friday Services Program	Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC	3			AC = Decision made to implement or not to implement result of planning process.	O	ARCHIVES NOTE: Data processing planning records are not archival.	
MDA25	1.1.024	Plans and Planning Records- Inactive Memorial	Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	PM					O	ARCHIVES NOTE: Data processing planning records are not archival.	
MDA26	1.1.024	Plans and Planning Records- Program Unit Report For SW Region (Quarterly)	Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC	3			AC = Decision made to implement or not to implement result of planning process.	O	ARCHIVES NOTE: Data processing planning records are not archival.	
MDA27	1.1.024	Plans and Planning Records- Programs	Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC	3			AC = Decision made to implement or not to implement result of planning process.	O	ARCHIVES NOTE: Data processing planning records are not archival.	



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MDA28	1.1.024	Plans and Planning Records- Project Files	Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC	10			AC = Decision made to implement or not to implement result of planning process.	O	ARCHIVES NOTE: Data processing planning records are not archival.	
MDA29	1.1.024	Plans and Planning Records- St. Louis University Projects	Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC	3			AC = Decision made to implement or not to implement result of planning process.	O	ARCHIVES NOTE: Data processing planning records are not archival.	
MDA30	1.1.024	Plans and Planning Records- Summer Programs	Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC	3			AC = Decision made to implement or not to implement result of planning process.	O	ARCHIVES NOTE: Data processing planning records are not archival.	
MDA30-A	1.1.026	Texas Register Submissions	Copies of all proposed, withdrawn, emergency, and adopted rules; open meetings notices; or any other documents required by law to be submitted to the Texas Register.	AC	1			AC = Date of publication in the Texas Register.			
MDA31	1.1.027	Proposed Legislation- House Bill, 47th Legislature	Drafts of proposed legislation and related correspondence.	PM							



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MDA31-A	1.1.027	Proposed Legislation	Drafts of proposed legislation and related correspondence.	AV							
MDA32	1.1.038	Customer Surveys	Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC	3			AC = Final disposition of summary report.		See item number 1.1.067 for summary reports compiled from customer surveys	
MDA33	1.1.040	Speeches, Papers and Presentations- Disaster Film/Presentation Letters	Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC				AC = End of term in office or termination of service in a state position.	O		
MDA34	1.1.040	Speeches, Papers and Presentations	Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC				AC = End of term in office or termination of service in a state position.	O		
MDA34-A	1.1.041	Suggestion System Records	Suggestions submitted by agency personnel and responses.		1						
MDA35	1.1.043	Training Materials	Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US	1						



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MDA36	1.1.048	Litigation Files	Records created by or on behalf of an agency in anticipation of or in the adjudication of a lawsuit.	AC	10			AC = As applicable, decision of an agency not to file a lawsuit or decision that a lawsuit will not be filed against it on a matter; dismissal of a lawsuit for want of prosecution or on motion of the plaintiff; or final decision of a court (or of a court on appeal, if applicable) in a lawsuit.	O	ARCHIVES NOTE: Cases that set legal precedent or exhibit historical value will be evaluated by the Archives and Information Services Division of the Texas State Library and Archives Commission for archival preservation.	
MDA37	1.1.048	Litigation Files-Medical Liability Claims	Records created by or on behalf of an agency in anticipation of or in the adjudication of a lawsuit.	AC	20			AC = As applicable, decision of an agency not to file a lawsuit or decision that a lawsuit will not be filed against it on a matter; dismissal of a lawsuit for want of prosecution or on motion of the plaintiff; or final decision of a court (or of a court on appeal, if applicable) in a lawsuit.	O	ARCHIVES NOTE: Cases that set legal precedent or exhibit historical value will be evaluated by the Archives and Information Services Division of the Texas State Library and Archives Commission for archival preservation.	
MDA38	1.1.053	Registration Logs- Guest Registration Cards	Logs or similar records used to register persons appearing before state agencies as required by Chapter 2004, Government Code, including quarterly reports filed with the Texas Ethics Commission.	AC				AC = Report filed with the Texas Ethics Commission.			



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					Years	Months	Days				
MDA39	1.1.055	Strategic Plans	Information resources and operational strategic plans prepared in accordance with 2054.095 and 2056.002, Government Code.	AC	6			AC = September 1 of odd numbered calendar years.	I	ARCHIVES NOTE: The archival requirement is met by sending the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission.	
MDA39-A	1.1.056	ADA (Americans with Disabilities Act) Documentation	Self evaluations and plans documenting compliance with the requirements of the Americans With Disabilities Act.		3						28 CFR 35.105(c).



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MDA40	1.1.057	Transitory Information	<p>Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series.</p> <p>Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; telephone message notifications; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.</p>	AC				AC = Purpose of record has been fulfilled.		The disposal of transitory information need not be documented through destruction signoffs (1.2.001) or in records disposition logs (1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (1.2.014). CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions.	



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MDA41	1.1.058	Meetings Agendas and minutes	Official agenda and minutes of state boards, committees, commissions, and councils that conduct open meetings as required by Government Code, Chapter 551.	PM				ARCHIVES NOTE: Agency retains permanent record copy. The archival requirement will be met by sending a copy to the Archives and Information Services Division, Texas State Library and Archives Commission.		CAUTION: This records series and item numbers 1.1.059, 1.1.060, 1.1.061, and 1.1.062 must be used for those state boards, committees, commissions, and councils, which by law or the biennial Appropriations Act, are administered by another state agency. These records and all others related to the functions of any of these dependent entities must be included in the records retention schedule of the administering agency.	
MDA42	1.1.059	Meetings, Certified Agendas or Tape Recordings of Closed-Meetings	Certified agendas or tape recordings of closed meetings of state boards, commissions, committees, and councils.	AC	2			AC = The date of the meeting or completion of pending action involving the meeting whichever is later.			



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MDA43	1.1.060	Meetings, Audio or Videotapes of Open-Videocassettes	Audio or videotapes of open meetings of state boards, commissions, committees, and councils.	AC			90	AC = Official approval of written minutes of the meeting by the governing body of the agency.		CAUTION: Minutes of state agencies are permanent records. Audio and videotapes are not permanent media. State agencies may not retain audio or videotapes of the meetings of governing bodies in lieu of written minutes. The proceedings of all meetings of state boards, committees, commissions, and councils must be reduced to writing. SEE caution comment at item number 1.1.058.	
MDA43-A	1.1.061	Meeting - Notes	Notes taken during open meetings of state boards, commissions, committees, and councils from which minutes are prepared.	AC			90	AC = Approval of the formal minutes by the governing body.		SEE caution comment at item number 1.1.058.	
MDA44	1.1.062	Meetings - Supporting Documentation	Documents submitted at meetings of state boards, commissions, committees, and councils including exhibit items, documentation for agenda items, etc. Includes documents sent in advance of meetings for briefing purposes, some of which may not be submitted at an actual meeting.		2				I	SEE caution comment at item number 1.1.058.	



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MDA45	1.1.063	Staff Meeting Minutes and Notes- Chronic Myelogenous/Lymphocytic Group Meetings	Minutes or notes, and supporting documentation, taken at internal agency staff meetings.	PM					I	Historical Data.	
MDA46	1.1.063	Staff Meeting Minutes and Notes- Executive Committee Of Science Faculty	Minutes or notes, and supporting documentation, taken at internal agency staff meetings.	PM					I		
MDA47	1.1.063	Staff Meeting Minutes and Notes	Minutes or notes, and supporting documentation, taken at internal agency staff meetings.		1						
MDA48	1.1.064	Agency Performance Measures Documentation- Annual Patient Care Report	Any records of an agency needed for the documentation of output, outcome, efficiency, and explanatory measures in an agency's appropriations request or strategic plan, and for performance measures used to manage the agency.	FE	3					CAUTION: The FE + 3 retention period overrides any shorter retention period for a records series in this schedule if the records series is needed for documentation of agency performance measures.	
MDA49	1.1.064	Agency Performance Measures Documentation	Any records of an agency needed for the documentation of output, outcome, efficiency, and explanatory measures in an agency's appropriations request or strategic plan, and for performance measures used to manage the agency.	FE	3					CAUTION: The FE + 3 retention period overrides any shorter retention period for a records series in this schedule if the records series is needed for documentation of agency performance measures.	



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MDA50	1.1.065	Reports and Studies (Non-Fiscal) - Raw Data	Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV						CAUTION: Does not include source documentation used for information or data included in or directly related to another records series in this schedule. SEE especially item number 1.1.064.	
MDA51	1.1.065	Reports and Studies (Non-Fiscal) - Raw Data-Respiratory Care Consultation Reports	Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV						CAUTION: Does not include source documentation used for information or data included in or directly related to another records series in this schedule. SEE especially item number 1.1.064.	
MDA52	1.1.066	Reports - Biennial or Annual Agency (Narrative)-Reports	Biennial narrative reports to the governor and legislature as required by an agency's enabling statutes, including annual narrative reports if they are required by statute.	AC	6			AC = September 1 of odd numbered calendar years.	I	ARCHIVES NOTE: The archival requirement is met by sending the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission.	



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MDA53	1.1.067	Reports and Studies (Non-Fiscal)- Monthly Reports (Department)	Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.		3				O	ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, A, R, or E. SEE page ix for more information.	
MDA54	1.1.068	Reports on Performance Measures	Quarterly and annual reports on agency performance measures submitted to executive and legislative offices.	AC	6			AC = September 1 of odd numbered calendar years.			
MDA55	1.1.069	Reports - Activity	Reports compiled by agency personnel on a daily or other periodic basis pertaining to workload monitoring, task completion times, number of public contacts, and similar activities.		1					CAUTION: SEE item number 1.1.064.	
MDA56	1.1.070	Agency Rules, Policies, and Procedures - Final- Surveys Reports Mandated	Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC	3			AC = Completion or termination of programs, rules, policies or procedures.	O	SEE ALSO Agency Rules, Policies and Procedures - Working Files, 1.1.071.	



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MDA57	1.1.071	Agency Rules, Policies, and Procedures - Working Files-Administrative Residency Program	Working files used in the development of manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC	3			AC = Completion or termination of programs, rules, policies or procedures.	O	SEE ALSO Records Series Item Number 1.1.070.	
MDA57-A	1.1.072	Public Information Reports	Reports made to the Office of the Attorney General on an agency's Public Information Act activities.			2					
MDA57-B	1.1.073	Administrative Hearings	Transcripts and final decisions of hearings conducted as part of the regulatory process, and hearings on proposed rules and changes. The records may be maintained with related information including meeting notices, proofs of publication, and meeting minutes.	AC	3			AC = Last action.	O		
MDA57-C	1.1.074	Sunset Review Report and Documentation		AC	3			AC = After the subsequent Sunset Review.	O		



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MDA57-D	1.1.075	Alternative Dispute Resolutions - Final Agreement	Final agreement described by Government Code 2009.054(c), associated with a matter conducted under an alternative dispute resolution procedure in which personnel of a state agency participated as a party on the agency's behalf.	AC	4			AC = Date of final agreement. Texas Civil Practice and Remedies Code, Chapter 154.071.			
MDA58	1.2.001	Destruction Authorizations	Agency level documents authorizing final disposition of records under a certified records retention schedule.	FE	3						
MDA59	1.2.003	Forms History File	Print masters of original version and all subsequent revisions to an agency form, including any associated design or design modification requests.	AC	1			AC = Discontinuance of use of form.			
MDA59-A	1.2.004	Forms Inventory	Any periodic listing of all forms used internally or externally by an agency.	US							
MDA60	1.2.005	Records Retention Schedule (SLR 105)	Agency copy. Formerly RMD 105. Includes documentation of certification and approval - forms SLR 105C (formerly RMD 105C), and/or other forms designated by the State Records Administrator.	US						Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission.	



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MDA61	1.2.006	Records Transmittal Forms	Agency copy (includes RMD 101, Tx-R-5, 306-58-1, and Agency Storage Forms). Forms indicate records transferred to storage or a transfer of legal custody.	AC	2			AC = Date of authorization for destruction, permanent transfer from storage, or transfer to the Archives and Information Services Division, Texas State Library and Archives Commission by the agency Records Management Officer.			
MDA61-A	1.2.008	Request for Authority to Dispose of State Records (RMD 102)	Agency copy.	FE	3					Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission.	
MDA62	1.2.010	Records Disposition Logs-Inquiry Deposition	Logs or similar records listing records destroyed or transferred to the Archives and Information Services Division, Texas State Library and Archives Commission, showing records series title, dates of records, and date destroyed or transferred.		10						
MDA62-A	1.2.011	Record Center Storage Approval Forms (RMD 106)	Agency copy	US							
MDA62-B	1.2.012	Records Inventory Worksheets		US							



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MDA63	1.2.013	Records Control Locator Aids (Includes Shelf List)	Includes indexes, card files, shelf lists, registers, guides, etc.	AC				AC = When control aid is updated, revised, or no longer needed.		CAUTION: These records must carry the same retention period and archival code of the records they support.	
MDA64	1.2.014	Records Management Plans	Records management plans and similar records that establish the policies and procedures under which records and information are managed in an agency.	US	1					ARCHIVES NOTE: The archival requirement is met by sending the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission.	
MDA64-A	1.2.015	Disaster Recovery Service Transmittals (RMD 109)	Also includes documentation for disaster recovery services provided by other entities.	FE	1						
MDA64-B	1.2.016	Disaster Recovery Service Approval Form (RMD 113)	Agency copy of form.	AC				AC = Until superseded or termination of service.			



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MDA65	1.3.001	State Publications	One copy of each state publication as defined on page xi of this schedule, except a publication that is subject to a different retention period in this schedule. For example, a meeting agenda (see item number 1.1.058) also meets the definition, but it must be retained permanently; item numbers 1.1.004, 1.1.055, 1.1.066, 1.1.068, and 4.5.003, which also meet the definition, are closely associated with the appropriations process and must be retained AC + 6.	AC	2			AC = Until superseded or obsolete.		CAUTION: Many state publications must be submitted to the Texas State Publications Depository Program, Texas State Library and Archives Commission, by law (Government Code 441.101-441.106). The Texas State Library and Archives Commission will retain a copy of all state publications submitted to it on a continuing basis, subject to periodic evaluation to determine if the publication merits further retention. For additional information and requirements concerning state publications made available to the public through the Internet, consult the administrative rules of the Texas State Publications Depository Program of the Texas State Library and Archives Commission (13 TAC §§3.1-3.16).	



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					Years	Months	Days				
MDA66	1.3.001	State Publications- Phase II Study	One copy of each state publication as defined on page xi of this schedule, except a publication that is subject to a different retention period in this schedule. For example, a meeting agenda (see item number 1.1.058) also meets the definition, but it must be retained permanently; item numbers 1.1.004, 1.1.055, 1.1.066, 1.1.068, and 4.5.003, which also meet the definition, are closely associated with the appropriations process and must be retained AC + 6.	AC	2			AC = Until superseded or obsolete.		CAUTION: Many state publications must be submitted to the Texas State Publications Depository Program, Texas State Library and Archives Commission, by law (Government Code 441.101-441.106). The Texas State Library and Archives Commission will retain a copy of all state publications submitted to it on a continuing basis, subject to periodic evaluation to determine if the publication merits further retention. For additional information and requirements concerning state publications made available to the public through the Internet, consult the administrative rules of the Texas State Publications Depository Program of the Texas State Library and Archives Commission (13 TAC §§3.1-3.16).	



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					Years	Months	Days				
MDA67	1.3.001	State Publications- Photographs - Clinical, Research, and Archival	One copy of each state publication as defined on page xi of this schedule, except a publication that is subject to a different retention period in this schedule. For example, a meeting agenda (see item number 1.1.058) also meets the definition, but it must be retained permanently; item numbers 1.1.004, 1.1.055, 1.1.066, 1.1.068, and 4.5.003, which also meet the definition, are closely associated with the appropriations process and must be retained AC + 6.	AC	2			AC = Until superseded or obsolete.		CAUTION: Many state publications must be submitted to the Texas State Publications Depository Program, Texas State Library and Archives Commission, by law (Government Code 441.101-441.106). The Texas State Library and Archives Commission will retain a copy of all state publications submitted to it on a continuing basis, subject to periodic evaluation to determine if the publication merits further retention. For additional information and requirements concerning state publications made available to the public through the Internet, consult the administrative rules of the Texas State Publications Depository Program of the Texas State Library and Archives Commission (13 TAC §§3.1-3.16).	



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					Years	Months	Days				
MDA68	1.3.001	State Publications- Protocols & Manuscripts	One copy of each state publication as defined on page xi of this schedule, except a publication that is subject to a different retention period in this schedule. For example, a meeting agenda (see item number 1.1.058) also meets the definition, but it must be retained permanently; item numbers 1.1.004, 1.1.055, 1.1.066, 1.1.068, and 4.5.003, which also meet the definition, are closely associated with the appropriations process and must be retained AC + 6.	PM				ARCHIVES NOTE: The archival requirement is met by sending the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission.		CAUTION: Many state publications must be submitted to the Texas State Publications Depository Program, Texas State Library and Archives Commission, by law (Government Code 441.101-441.106). The Texas State Library and Archives Commission will retain a copy of all state publications submitted to it on a continuing basis, subject to periodic evaluation to determine if the publication merits further retention. For additional information and requirements concerning state publications made available to the public through the Internet, consult the administrative rules of the Texas State Publications Depository Program of the Texas State Library and Archives Commission (13 TAC §§3.1-3.16).	



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					Years	Months	Days				
MDA69	1.3.001	State Publications- Research Protocols Funded	One copy of each state publication as defined on page xi of this schedule, except a publication that is subject to a different retention period in this schedule. For example, a meeting agenda (see item number 1.1.058) also meets the definition, but it must be retained permanently; item numbers 1.1.004, 1.1.055, 1.1.066, 1.1.068, and 4.5.003, which also meet the definition, are closely associated with the appropriations process and must be retained AC + 6.	AC	2			AC = Until superseded or obsolete. ARCHIVES NOTE: The archival requirement is met by sending the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission		CAUTION: Many state publications must be submitted to the Texas State Publications Depository Program, Texas State Library and Archives Commission, by law (Government Code 441.101-441.106). The Texas State Library and Archives Commission will retain a copy of all state publications submitted to it on a continuing basis, subject to periodic evaluation to determine if the publication merits further retention. For additional information and requirements concerning state publications made available to the public through the Internet, consult the administrative rules of the Texas State Publications Depository Program of the Texas State Library and Archives Commission (13 TAC §§3.1-3.16).	



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Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
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MDA70	1.3.001	State Publications-Manuscript (Books)	One copy of each state publication as defined on page xi of this schedule, except a publication that is subject to a different retention period in this schedule. For example, a meeting agenda (see item number 1.1.058) also meets the definition, but it must be retained permanently; item numbers 1.1.004, 1.1.055, 1.1.066, 1.1.068, and 4.5.003, which also meet the definition, are closely associated with the appropriations process and must be retained AC + 6.	AC	2					CAUTION: Many state publications must be submitted to the Texas State Publications Depository Program, Texas State Library and Archives Commission, by law (Government Code 441.101-441.106). The Texas State Library and Archives Commission will retain a copy of all state publications submitted to it on a continuing basis, subject to periodic evaluation to determine if the publication merits further retention. For additional information and requirements concerning state publications made available to the public through the Internet, consult the administrative rules of the Texas State Publications Depository Program of the Texas State Library and Archives Commission (13 TAC §§3.1-3.16).	



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MDA71	1.3.002	Publication Development Files- Cancer Bulletin	Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV							
MDA72	2.1.001	Processing Files- Data Processing Planning Records, Reports, Studies	Machine-readable files used in the creation, utilization, and updating of master files.	AC				AC = Completion of 3rd verification cycle, or audit completion confirming successful transaction updates, or required audit trail maintenance, or the ability to restore or migrate when errors are detected or when hardware or software changes occur.		CAUTION: Records management officers must be certain before assigning the retention period of AC to agency automated processing files that the files do not fall under records series listed elsewhere.	
MDA73	2.1.002	Master Files	Relatively long-lived computer files containing organized and consistent sets of complete and accurate electronic records. Examples include, but are not limited to, data tables of relational databases used by applications or computer programs.	AC				AC = Completion of 3rd verification cycle, or audit completion confirming successful transaction updates, or required audit trail maintenance, or the ability to restore or migrate when errors are detected or when hardware or software changes occur.		CAUTION: Records management officers must be certain before assigning the retention period of AC to agency automated processing files that the files do not fall under records series listed elsewhere.	



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MDA74	2.1.007	Software Programs	Automated software applications and operating system files including job control language, program listing/source code, etc.	AC				AC = Until electronic records are transferred to and made usable in a new software environment or there are no electronic records being retained to meet an approved retention period that require the software to be retrieved and read.		CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.	13 TAC 6.94
MDA75	2.1.008	Hardware Documentation	Records documenting operational and maintenance requirements of computer hardware such as operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems.	AC				AC = Until electronic records are transferred to and made usable in a new hardware environment or there are no electronic records being retained to meet an approved retention period that require the hardware to be retrieved and read.		CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.	13 TAC 6.94



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MDA76	2.1.009	Technical Documentation	Records adequate to specify all technical characteristics necessary for reading or processing of electronic records and their timely, authorized disposition including documentation describing how a system operates and necessary for using the system such as user guides, system or sub-system definitions, system specifications, input and output specifications, and system flow charts; program descriptions and documentation such as program flowcharts, program maintenance logs, change notices, and other records that document modifications to computer programs; and data documentation necessary to access, retrieve, manipulate, and interpret data in an automated system such as a data element dictionary, file layout, code book or table, and other records that explain the meaning, purpose, structure, logical relationships, and origin of the data elements.	AC				AC = Until electronic records are transferred to and made usable in a new hardware or software environment with new documentation or there are no electronic records being retained to meet an approved retention period that require the documentation to be retrieved and read.		CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.	13 TAC 6.94



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MDA-76A	2.1.010	Audit Trail Records	Files needed for electronic data audits such as files or reports showing transactions accepted, rejected, suspended, and/or processed; history files/tapes; records of on-line updates to application files or security logs.	AC				AC = All audit requirements have been met.			
MDA77	2.1.011	Finding Aids, Indexes, and Tracking Systems	Automated indexes, lists, registers, and other finding aids used to provide access to records	AC				AC = The related records have been destroyed		CAUTION: These records must carry the same retention period and archival code of the records they support.	
MDA78	2.2.001	System Monitoring Records	Electronic files or automated logs created to monitor computer systems such as print spool logs, console logs, tape activity logs, etc.	AV							
MDA78-A	2.2.002	Chargeback Records to Data Processing Services Users	Records used to document, calculate costs, and bill program units for computer usage and data processing services. These records are also used for cost recovery, budgeting, or administrative purposes.	FE	3						
MDA78-B	2.2.004	Computer Job Schedules and Reports	Schedules or similar records showing computer jobs to be run and other reports by computer operators or programmers of work performed.				3				



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MDA78-C	2.2.010	Data Processing Policies and Procedures	Manuals, guidelines, or similar documents establishing data processing policies and procedures in an agency in such areas as access and security, systems development, data retention and disposition, data ownership, production control, system back-up, etc.	US	3					CAUTION: Does not include technical documentation of procedures necessary for reading or processing of electronic records. SEE item number 2.1.009.	
MDA79	2.2.011	Batch Data Entry Control Records	Forms and logs used to reconcile batches submitted for processing against batches received and processed.	AC				AC = When reconciliation confirmed.			
MDA79-A	2.2.012	Output Records for Computer Production	Reports showing transactions that were accepted, rejected, suspended, and/or processed.	AV							
MDA80	2.2.013	Quality Assurance Records-Program Listings	Information verifying the quality of system, hardware, or software operations including records of errors or failures and the loss of data resulting from such failures, documentation of abnormal termination and of error free processing, checks of changes put into production, transaction histories, and other records needed as an audit trail to evaluate data accuracy.	AC				AC = No longer needed as an audit trail for any records modified.			



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MDA81	2.2.013	Quality Assurance Records	Information verifying the quality of system, hardware, or software operations including records of errors or failures and the loss of data resulting from such failures, documentation of abnormal termination and of error free processing, checks of changes put into production, transaction histories, and other records needed as an audit trail to evaluate data accuracy.	AC				AC = No longer needed as an audit trail for any records modified.			
MDA81-A	2.2.014	Internet Cookies	Data resident on hard drives that make use of user-specific information transmitted by the Web server onto the user's computer so that the information might be available for later access by itself or other servers.	AV						The disposal of Internet cookies need not be documented through destruction authorizations (1.2.001) or in records disposition logs (1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (1.2.014).	
MDA81-B	2.2.015	History Files - Web Sites	A record of the documents visited during an Internet session that allows users to access previously visited pages more quickly or to generate a record of usage of a state-owned computer.	AV							
MDA81-C	2.2.016	Software Registrations, Warranties, and License Agreements		LA	3						



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MDA82	3.1.	Personnel Records - Employee Exit Interviews		AC	3			AC = Termination of Employment			
MDA83	3.1.	Personnel Records - Employee Fliers / Catalogs		US							
MDA84	3.1.	Personnel Records - Employee Individual Personnel Files - Retired Employee		AC	50			AC = Retirement Date.			
MDA85	3.1.	Personnel Records - Employee Personnel File- Administrative Staff		AC	5			AC = Termination of Employment.			
MDA86	3.1.	Personnel Records - Employee Personnel File- Professional (All In One File)		AC	5			AC = Term of Employment.			
MDA87	3.1.	Personnel Records - Employee Personnel Files- Terminated		AC	5			AC = Termination Date.			
MDA88	3.1.	Personnel Records - Employee Personnel Folder (Separated)		AC	5			AC = Separation Date.			
MDA89	3.1.	Personnel Records - Employee Separation Cards		AC	50			AC = Termination of Employment.			
MDA90	3.1.	Personnel Records - Employee Treatment For Nonemployees			5						



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MDA91	3.1.	Personnel Records - Employee UT System Development Office Employee Files		AC				AC = Termination of Employment.			
MDA92	3.1.	Personnel Records - Employee Volunteer Employee Personnel Files		AC				AC = Termination of Employment.			
MDA93	3.1.001	Applications for Employment - Not Hired	Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.		2						29 CFR 1602.49(a) [State Universities] 29 CFR 1602.31 [State Agencies].
MDA94	3.1.002	Applications for Employment - Hired	Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.	AC	5			AC = Termination of employment			
MDA95	3.1.006	Employee Counseling Records	Notes, memoranda, or reports relating to the counseling of an employee for work-related, personal, or substance abuse problems. Usually maintained at the supervisory level except in those agencies with counseling staff.	AC	3			AC = Termination of counseling.			



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MDA96	3.1.011	Employee Insurance Records	Agency copies of information relating to the selection by employees of life, disability, health, and other types of insurance offered by the State of Texas to its employees.	AC				AC = Until superseded or termination of employment.		CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item number 3.2.001.	
MDA97	3.1.012	Employment Opportunity Announcements	Internal or external announcements or advertisements of job openings, promotions, training programs, or opportunities for overtime.		2						29 CFR 1602.31 [State Agencies]. 29 CFR 1602.49(a) [State Universities]
MDA98	3.1.013	Employment Contracts	a) Executed, renewed, or amended on or after September 1, 2015.	AC	7			AC = Expiration or termination of the contract according to its terms.			Government Code, 441.1855
MDA98-A	3.1.013	Employment Contracts	b) Executed, renewed, or amended on or before August 31, 2015.	AC	4			AC = Expiration or termination of the contract according to its terms.			Government Code, 441.1855



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MDA99	3.1.014	Employment Selection Records	Includes notes of interviews with candidates, questions asked of applicants, audio and videotapes of job interviews, driving record and previous injury checks, pre-employment physical examinations, pre-employment drug screening test results, polygraph examination results; and all other records that document the selection process.		2			Does not include criminal history checks.		CAUTION: Does not include criminal history checks. SEE item number 3.1.026.	29 CFR 1602.31 [State Agencies]. 29 CFR 1602.49(a) [State Universities]
MDA100	3.1.018	Grievance Records	Records relating to the review of employee grievances against personnel policies, working conditions, etc.	AC	2			AC = Final decision on the grievance		CAUTION: Does not include formal complaints filed by an agency employee with the Equal Employment Office (EEO) of the U. S. Department of Labor. SEE item number 1.1.048.	
MDA101	3.1.019	Performance Appraisals		AC	5			AC = Completion of evaluation.			29 CFR 1620.32 (c)



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MDA102	3.1.020	Personnel Corrective Action Documentation	Corrective actions are those actions which do not affect pay, status, or tenure and are imposed to correct or improve an employee's job performance.	AC	5			AC = Termination of corrective action.		CAUTION: If, during the retention period of this records series, any part of this series is used to document and support personnel disciplinary action under item number 3.1.021, all documentation from this series used to support disciplinary action must be retained for the the minimum retention period described by item number 3.1.021.	
MDA103	3.1.021	Personnel Disciplinary Action Documentation	Disciplinary actions are those actions which may affect pay, status, or tenure. They are imposed to discipline an employee whose conduct is harmful to the best interests of the state, the agency, or the employee work force; and for failure to improve performance or conduct following imposition of corrective action. May include cause for demotion, suspension, or dismissal, and the reasons for failure to give written notice of resignation. May also be used to document evidence of employee self-improvement efforts, as well as favorable and unfavorable communication.	AC	5			AC = Termination of employment			



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MDA104	3.1.022	Personnel Information or Action Forms	Forms or similar records used to create or change information concerning the records of an employee including pay grade, position classification, employee number, evaluation date, and termination of employment.		2						29 CFR 1602.31 [State Agencies] 29 CFR 1602.49(a) [State Universities]
MDA105	3.1.023	Position/Job Descriptions	Job descriptions, including all associated task or skill statements, for positions in an agency.	AC	4			AC = Until superseded or job eliminated.			40 TAC 815.106(i)
MDA106	3.1.024	Physical Examinations/Medical Reports- Employee Medical Record	Medical or physical examination reports or certificates of employees for whom periodic monitoring of health or fitness is required.	AC	2			AC = Until superseded or termination of employment.		CAUTION: Does not include pre-employment physical examinations. SEE item number 3.1.014.	
MDA107	3.1.026	Criminal History Checks- Employee Consent Form	Criminal history record information on job applicants or agency employees obtained from the Department of Public Safety (DPS).	AC				AC = The criminal history record has served the immediate purpose for which it was obtained.		CAUTION: An agency that is authorized to obtain a criminal history record information from DPS must refer to its agency's legislation or see Subchapter F, Chapter 411, Government Code for appropriate retention and use of this information.	
MDA108	3.1.027	Training and Educational Achievement Records (Individual)- Archives of the Rosalie B. Hite Fellowship	Certificates of completion, transcripts, test scores, or similar records documenting the training, testing, or continuing education achievements of an employee.	AC	5			AC = Termination of employment.			



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MDA109	3.1.027	Training and Educational Achievement Records (Individual)- Continuing Medical Education	Certificates of completion, transcripts, test scores, or similar records documenting the training, testing, or continuing education achievements of an employee.	AC	5			AC = Termination of employment.			
MDA110	3.1.029	Employment Eligibility, Documentation or Verification of	Federal reporting form (INS I-9).	AC	1			AC = Termination of employment (INS I-9).		CAUTION: Federal regulation requires that INS 1-9 forms be retained for 3 years from date of hire or 1 year after separation of the employee, whichever later. Agencies should make certain that the INS I-9 forms for employees who terminate from an agency less than 3 years from date of hire are kept for the 3 year retention period.	8 CFR 274a.2 (b)(2)(i)(A) and ©(2).
MDA111	3.1.031	Employee Benefits - Other than Insurance- Employee Benefits - Other than Insurance	Agency copies of information relating to the selection of available benefit options other than insurance.	AC	2			AC = Until superseded or termination of employment		CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item number 3.2.001.	
MDA111-A	3.1.034	Resumes - Unsolicited	Retention period applies if an agency replies to the sender of a resume that it will be kept on file should future job openings occur.	AV						SEE item number 3.1.014 for resumes, whether solicited or unsolicited, that are used in any way in the employment selection process.	



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MDA112-A	3.1.035	Performance Bonds	Bonds posted by employees and individuals or entities under contract with an agency for the performance of the duties of a position or the terms of a contract with the agency. a) Executed, renewed, or amended on or after September 1, 2015.	AC	7			AC = Expiration or termination of the bond according to its terms.		CAUTION: Does not include construction or architectural surety bonds. SEE item number 5.2.028. SEE related item 5.1.001 Contracts and Leases.	Government Code, 441.1855
MDA112-B	3.1.035	Performance Bonds	Bonds posted by employees and individuals or entities under contract with an agency for the performance of the duties of a position or the terms of a contract with the agency. b) Executed, renewed, or amended on or before August 31, 2015.	AC	4			AC = Expiration or termination of the bond according to its terms.		CAUTION: Does not include construction or architectural surety bonds. SEE item number 5.2.028. SEE related item 5.1.001 Contracts and Leases.	Government Code, 441.1855
MDA112-C	3.1.036	Apprenticeship Records	Summary of applicant qualifications, evaluation basis for selection or rejection, original applications, job assignments, promotions, separations, layoffs, terminations, compensation records, conditions of work, time records, hours of training provided (separate from labor), minority status, and gender of all selected and rejected applicants.		5						29 CFR 30.8(3).



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					Years	Months	Days				
MDA112	3.1.037	Employee Recognition Records	Awards, incentives, tenure, etc.	AC	5			AC = Termination of employment.			
MDA112-D	3.1.038	Public Access Option Form	Form completed and signed by employee or official, or former employee or official, electing to keep home address, home telephone number, social security number, and family information open or confidential under the Public Information Act, Government Code §552.024.	US						SEE item number 3.3.011.	
MDA112-E	3.1.039	Ombudsman Records	Consultation records, notes, letters, memos, emails, reports and other documentation.	AC				AC = Final decision or matter closed.		CAUTION: Does not include formal complaint filed with EEO. If matter becomes a grievance or the subject of counseling or litigation, or employee is subject to disciplinary action, the records are subject to retention in the appropriate records series. SEE 1.1.048, 3.1.006, 3.1.018, 3.1.020, and 3.1.021.	
MDA113	3.2.001	Employee Deduction Authorizations- Savings Bond	Documentation used to start, modify, or stop all voluntary or required deductions from payroll, including garnishment or other court-ordered attachments.	PM							



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MDA114	3.2.001	Employee Deduction Authorizations	Documentation used to start, modify, or stop all voluntary or required deductions from payroll, including garnishment or other court-ordered attachments.	AC	4			AC = After termination of employee or after amendment, expiration, or termination of authorization, whichever is sooner.			
MDA115	3.2.002	Employee Earnings Records		FE	4						40 TAC 815.106(i)
MDA116	3.2.003	Federal Tax Records	Documentation used to start, modify, or stop all voluntary or required deductions from payroll, including garnishment or other court-ordered attachments.	AC	4			AC = Tax due date, date claim is filed, or date tax is paid whichever is later.			26 CFR 31.6001 - 1(e)(2).
MDA117	3.2.004	Income Adjustment Authorizations- Adjusted Appropriations	Used to make increases or decreases to employees' gross pay, FICA, retirement, or in the computation of taxes.	AC	5			AC = After termination of employment or after amendment, expiration, or termination of authorization, whichever sooner.		Summary of Accruals and Premiums for Staff.	29 CFR 516.6 (c).
MDA118	3.2.005	W-4 Forms	Employer's copy of "Employee's Withholding Exemption Certificate."	AC	4			AC = Until superseded, or upon separation of employee.			26 CFR 31.6001-1 (e)(2).
MDA119	3.2.006	Wage Rate Tables			2						29 CFR 516.6(a)(2)
MDA120	3.2.007	Unemployment Compensation Records- UCI (Unemployment Compensation) Log		AC	5			AC = Distribution Plan has been filed and is complete.			
MDA121	3.2.008	Direct Deposit Application/Authorizations		US							



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MDA122	3.2.009	State Deferred Compensation Records		AC	5			AC = All accounts with a vendor or vendors for the individual participant have been closed.		For instructions regarding the determination of the closure of accounts and for additional information regarding the retention period see the most current edition of the Benefits Coordinator Reference Manual issued by the Employees Retirement System of Texas.	
MDA123	3.2.010	Human Resources Information System (HRIS) Reports	Includes supporting documentation.	AC	4			AC = After completed.			
MDA124	3.3.001	Affirmative Action Plans- Cadet Folders	Affirmative action plans for both regular employees and apprenticeship programs.		5					Must be kept at least 5 years.	29 CFR30.8(e) for apprenticeship plans.
MDA125	3.3.001	Affirmative Action Plans	Affirmative action plans for both regular employees and apprenticeship programs.		5						29 CFR30.8(e) for apprenticeship plans
MDA126	3.3.004	Benefit Plans	Employee benefit plans such as pension; life, health, and disability insurance; deferred compensation; etc., including amendments.	US	1						29 CFR 1627.3(b)(2)
MDA127	3.3.010	Labor Statistics Reports	Reports providing statistical information on labor force.		3						



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MDA128	3.3.011	Former Employee Verification Records	Minimum information needed to verify employment, includes name, social security number, exact dates of employment, last known address and most recent public access option form.	AC	75			AC = Termination of employment.		See item number 3.1.038.	
MDA129	3.3.015	Positions/Job Classification Review File	Records relating to review and monitoring of job classifications within an agency.	US	3						
MDA130	3.3.020	Work Schedules/Assignments-Student's Orientation Schedule	Work, duty, shift, crew, or case schedules, rosters, or assignments.	FE	3						
MDA131	3.3.020	Work Schedules/Assignments	Work, duty, shift, crew, or case schedules, rosters, or assignments.		1						
MDA131-A	3.3.022	Texas Workforce Commission (TWC) Reports	Reports to the agency from TWC or its predecessor pertaining to employees.		3						
MDA132	3.3.023	Reimbursable Activities, Requests and Authorizations to Engage in	Requests and authorizations for travel; participation in educational programs, workshops, or college classes; or for other work-related activities for which the expenses of the employee are defrayed or reimbursed.	FE	3						
MDA133	3.3.024	Personnel Policies and Procedures (includes Radiation Safety Manual)	Any internally distributed manuals, guidelines, or similar records that define agency wide policies and procedures concerning the personnel of an agency.	US	3						



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MDA133-A	3.3.025	Job Procedure Records	Any documents detailing the procedural duties and responsibilities of agency positions on a position-by-position basis.	US	3						
MDA134	3.3.026	Agency Staffing Reports- Employee List By Title/Dept. (M82509)	Any reports compiled by an agency on aspects of personnel staffing, including listings of all staff by program or name, staff hired during a month, detailed listings of employees within its organizational structure, position vacancies, analyses of turnover rates and seasonality of employment, etc.	US	3						
MDA134-A	3.3.028	Aptitude and Skills Tests (Test Papers)	Aptitude and skills test papers of job applicants or of current personnel taking a test to qualify for promotion or transfer.		2						29 CFR 1602.31 [State Agencies]. 29 CFR 1602.49 [State Universities].
MDA134-B	3.3.029	Aptitude and Skills Tests (Validation Records)	Records of the validation of aptitude and skills tests.	AC	2			AC = As long as the test is used by an agency.			29 CFR 1602.31 [State Agencies]. 29 CFR 1602.49 [State Universities].
MDA135	3.3.027	Aptitude and Skills Tests	Aptitude or skills tests required of job applicants or of current personnel to qualify for promotion or transfer.	US	2					CAUTION: One copy of each (different in terms of either questions or administration procedures) should be retained for the period indicated.	29 CFR 1602.31 [State Agencies] 29 CFR 1602.49 [State Universities]



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MDA136	3.3.030	Training Administration Records	Instructional materials and other records associated with in-house training of agency personnel on personnel policies and procedures and other policies and procedures that govern an agency's programs, services, or projects.	US	2					CAUTION: Does not include hazardous material training records. SEE item number 5.4.007.	
MDA137	3.3.031	EEO Reports and Supporting Documentation-EEOC Charges	Includes documentation used to complete EEO reports.		3						29 CFR 1602.32, 1602.39, 1602.41, 1602.48, and 1602.50
MDA138	3.3.032	Equal Pay Records-Equal Pay Records	Reports, studies, aggregated or summary data, and similar documentation compiled to monitor and demonstrate compliance with the federal Equal Pay Act.		3						29 CFR 1620.32.
MDA139	3.4.001	Accumulated Leave Adjustment Requests	Used to create employee leave balances, to transfer leave balances when an employee transfers positions, to adjust carry-over balances on August 31, to correct errors on leave accumulation, and to close out leave accounts on separated employees.	FE	3						
MDA140	3.4.002	Leave Status Reports	Cumulative report is issued each pay cycle and provides employee leave status information for each position.	FE	3						



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MDA141	3.4.003	Less Than Full-Time Worked Reports- Volunteer Hours - Monthly Report	Dates and hours.		4						40 TAC 815.106 (I)
MDA142	3.4.004	Overtime Authorizations			2						
MDA143	3.4.005	Overtime Schedules			2						
MDA144	3.4.006	Time Cards and Time Sheets - Time Exceptions	Failure To Clock In & Out, Time Exception For Week Ending, Memos, Memo Changes & Exceptions Sheets.	FE	4						40 TAC 815.106 (I)
MDA145	3.4.006	Time Cards and Time Sheets- Time Justification		FE	5						40 TAC 815.106 (I)
MDA146	3.4.006	Time Cards and Time Sheets			4						40 TAC 815.106 (I)
MDA147	3.4.007	Time Off and/or Sick Leave Requests		FE	3						
MDA148	3.4.008	Sick Leave Pool Documentation- Leave Of Absence Transaction Edit For Audits	Requests submitted, approvals, number of hours transferred in and out, etc.	FE	3						
MDA149	4.1.001	Accounts Payable Information		FE	9					Medicaid/Medicare Audit Requirements	
MDA150		Accounting Records- Patient Data		FE	9					Medicaid/Medicare Audit Requirements	
MDA151	4.1.002	Billing Detail- Medicaid Logs/Cost Report Material, Medicare OP Provider Automation Report		FE	9					Medicaid/Medicare Audit Requirements	



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MDA152	4.1.003	Canceled Checks/Stubs/Warrants/Drafts		FE	9					Medicaid/Medicare Audit Requirements	
MDA152-A	4.1.004	Encumbrance Detail		FE	3						
MDA153	4.1.005	Inventory and Other Cost Files- Professorship (Funded)	Production, job, labor, quotes, pricing, specifications, etc.	FE	9					Medicaid/Medicare Audit Requirements	
MDA154	4.1.006	Investment Transaction Files		FE	9					Medicaid/Medicare Audit Requirements	
MDA155	4.1.007	Transfers or Budget Revisions- Rehabilitation Center (Historical)	Transfers or adjustment to budgets.	FE	9					Medicaid/Medicare Audit Requirements	
MDA155-A	4.1.008	Electronic Fund Transfers	Direct Deposit Registers.	FE	3						
MDA156	4.2.001	Cash Deposit Vouchers- Offsite Tapes; Accounting	Cash deposit slips.	FE	9					Medicaid/Medicare Audit Requirements	
MDA157	4.2.002	Cash Receipts	Includes receipts for fees (permits, licenses, renewals, etc.)	FE	9					Medicare/Medicaid Audit Requirement	
MDA158	4.2.003	Daily Cash Receipts Logs		FE	9					Medicaid/Medicare Audit Requirements	
MDA159	4.2.004	Encumbrance Vouchers	Orders, statements, change orders, etc.	FE	9					Medicaid/Medicare Audit Requirements	



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MDA160	4.2.005	Purchase Vouchers	Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc. a) Associated with a contract executed, renewed, or amended on or after September 1, 2015.	AC	7			AC=Expiration or termination of the instrument according to its terms.		Medicaid/Medicare Audit Requirements	Government Code, 441.1855
MDA160-A	4.2.005	Purchase Vouchers	Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc. b) Associated with a contract executed, renewed, or amended on or before August 31, 2015.	AC	4			AC=Expiration or termination of the instrument according to its terms.		Medicaid/Medicare Audit Requirements	Government Code, 441.1855
MDA161	4.2.006	General Journal Vouchers		FE	9					Medicaid/Medicare Audit Requirements	
MDA162	4.2.007	Expenditure Vouchers- Petty Cash and Expenditure Vouchers	Travel, payroll, etc.	FE	9					Medicare/Medicaid Audit Requirement	
MDA163	4.2.007	Expenditure Vouchers- Petty Cash Reimbursement	Travel, payroll, etc.	FE	9					Medicare/Medicaid Audit Requirement	
MDA164	4.3.001	Sales Journals or Registers		FE	9					Medicare/Medicaid Audit Requirement	
MDA165	4.3.002	Receipts Journals or Registers- Recap Sheet		FE	9					Medicare/Medicaid Audit Requirement	



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MDA166	4.3.003	Expenditures Journals or Registers	Expenditure Summary for Medicare Report (M53225), Summary for Modified Total Direct Cost, Format For AFR (M53001)	FE	9					Medicaid/ Medicare Audit Requirement	
MDA167	4.4.001	General and Subsidiary Ledgers- Permanent Resident		FE	9					Medicaid/Medicare Audit Requirement	
MDA168	4.4.002	Accounts Receivable Ledgers		FE	9					Medicare/Medicaid Audit Requirement	
MDA169	4.4.003	Accounts Payable Ledgers		FE	9					Medicare/Medicaid Audit Requirement	
MDA169-A	4.4.004	Employee Savings Bond Ledgers		FE	3						
MDA170	4.5.001	Annual Financial Report Work papers		FE	9					Medicare/Medicaid Audit Requirement	
MDA171	4.5.001	Worksheets for Preparing Fiscal Reports- Financial Evaluation		FE	9					Medicare / Medicaid Audit Requirement	
MDA172	4.5.002	Internal Fiscal Management Reports- Budget by Institution & Individual (M32115)	Includes agency monthly budget reports.	FE	9					Medicare/Medicaid Audit Requirement	
MDA173	4.5.003	Annual Financial Reports- Work papers	Required by the General Appropriations Act (100 Day Report).	FE	9				I	Medicare/Medicaid Audit Requirement	



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MDA174	4.5.003	Annual Financial Reports-BMT Accounting Files	Required by the General Appropriations Act (100 Day Report).	AC	7			AC = September 1 of odd numbered calendar years.	I	CAUTION: If an agency does not produce a biennial or annual narrative report as described in item number 1.1.066, then these annual financial reports must be marked with Archival Code A. The archival requirement, when a biennial or annual narrative report is not produced, is met by sending the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission.	
MDA175	4.5.003	Annual Financial Reports	Required by the General Appropriations Act (100 Day Report).	AC	6			AC = September 1 of odd numbered calendar years.	I	CAUTION: If an agency does not produce a biennial or annual narrative report as described in item number 1.1.066, then these annual financial reports must be marked with Archival Code A. The archival requirement, when a biennial or annual narrative report is not produced, is met by sending the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission.	



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MDA176	4.5.005	External Fiscal Reports	Special purpose - i.e. federal financial reports, salary reports, etc. Includes HUB Reports.	FE	9					Medicare/Medicaid Audit Requirement	
MDA177	4.5.006	Annual Operating Budgets	Required by the General Appropriations Act.	FE	9					Medicaid/Medicare Audit Requirement	
MDA178	4.5.006	Annual Operating Budgets-Regents' Budget	Required by the General Appropriations Act.	PM							
MDA178-A	4.5.007	USAS Reports – Daily		AC				AC = Receipt and reconciliation of monthly report.			
MDA178-B	4.5.008	USAS Reports - Monthly		AC				AC = Receipt and reconciliation of annual report.			
MDA178-C	4.5.009	USAS Reports - Annual		FE	3						
MDA179	4.6.001	Balancing Records		FE	9					Medicare/Medicaid Audit Requirement	
MDA180	4.6.002	Reconciliations		FE	9					Medicare/Medicaid Audit Requirement	
MDA181	4.6.003	Cash Counts		FE	9					Medicaid/Medicare Audit Requirement	
MDA181-A	4.7.001	Accounting Policies and Procedures Manual		US	3						
MDA182	4.7.002	Bank Statements		FE	9					Medicaid/Medicare Audit Requirement	



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MDA183	4.7.003	Returned Checks/Warrants/Drafts (Uncollectable)-Returned Checks/Warrants/Drafts (Uncollectable)		AC	3			AC = After deemed uncollectable.			
MDA184	4.7.004	Capital Asset Records		LA	3						
MDA185	4.7.005	Claim Files- Patient Claims - Variance Report		AC	3			AC = Resolution of claim.			
MDA185-A	4.7.006	Comptroller Statements		FE	3						
MDA186	4.7.007	Detail Chart of Accounts-SMS System- 1500 Fiche	One for all accounts in use for a fiscal year.	FE	3						
MDA187	4.7.008	Federal Grant Records- Grant Applications, information	This series documents state and federal grant projects participated in or administered by state agencies. It includes grant authorization records, which provide evidence of the award of grants to or by agencies; grant/project financial or performance reports, which are periodic reports of financial activity and/or program performance related to grants received or made by agencies.	AC	3			AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (the Common Rule).		CAUTION: Retention requirements may vary depending on the specific funding agency. Agencies must ensure that records are retained for the appropriate retention period.	



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MDA188	4.7.008	Federal Grant Records-Grants, Private Funding, NIH Grant Information	This series documents state and federal grant projects participated in or administered by state agencies. It includes grant authorization records, which provide evidence of the award of grants to or by agencies; grant/project financial or performance reports, which are periodic reports of financial activity and/or program performance related to grants received or made by agencies.	PM							
MDA188-A	4.7.009	Fixed Asset Sequential Number Logs		US	3						
MDA188-B	4.7.010	Long-Term Liability Records	Bonds, etc.	AC	3			AC = Retirement of debt.			
MDA189	4.7.011	Texas Facilities Commission (TFC) Statements	Charge or bill statements received by agencies from the TFC services provided.	FE	3						
MDA190	4.7.012	Signature Authorizations	Signature cards or similar records establishing authority of an agency employee to initiate or authorize financial transactions on behalf of an agency.	AC	3			AC = US + FE			



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MDA191	4.7.012	Signature Authorizations- Authorized Signature/ID Assignments	Signature cards or similar records establishing authority of an agency employee to initiate or authorize financial transactions on behalf of an agency.	PM							
MDA192	4.7.	Bank Collateral Records Tax Exemption Certificates		FE	9					Medicaid/Medicare Audit Requirement	
MDA193	4.7.	Bank Collateral Records Hill/Burton Compliance		FE	9						
MDA194	4.7.	Bank Collateral Records John Dunn Memorial (Funding For Sanctuary)		PM							
MDA195	4.7	Bank Collateral Records Johnson Foundation		PM							
MDA196	4.7.	Bank Collateral Records Patient Account Problems		FE	9					Medicaid/Medicare Audit Requirement	
MDA197	4.7	Bank Collateral Records Payee Lists (M23102)		FE	9					Medicaid/Medicare Audit Requirement	
MDA198	4.7.	Bank Collateral Records Cash Fiche		FE	9						
MDA199	4.7.	Bank Collateral Records Financial Evaluation Form		FE	9					Medicaid/Medicare Audit Requirement	



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					Years	Months	Days				
MDA200	5.1.001	Contracts and Leases	<p>Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, successful and unsuccessful bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. May also include other applicable documentation in the master contract file per Texas Comptroller of Public Accounts Contract Management Guide.</p> <p>a) Executed, renewed, or amended on or after September 1, 2015.</p>	AC	7			AC = Expiration or termination of the instrument according to its terms.		SEE related item numbers 3.1.035 Performance Bonds, 4.2.005 Purchase Vouchers, and 5.3.007 Bid Documentation. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs.	Government Code, 441.1855



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MDA200-A	5.1.001	Contracts and Leases	<p>Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, successful and unsuccessful bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. May also include other applicable documentation in the master contract file per Texas Comptroller of Public Accounts Contract Management Guide.</p> <p>b) Executed, renewed, or amended on or before August 31, 2015.</p>	AC	4			AC = Expiration or termination of the instrument according to its terms.		SEE related item numbers 3.1.035 Performance Bonds, 4.2.005 Purchase Vouchers, and 5.3.007 Bid Documentation. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs.	Government Code, 441.1855
MDA201	5.1.003	Delivery Reports			2						
MDA202	5.1.004	Mail and Telecommunications Listings	Any mailing address, telephone or fax number, or e-mail address records maintained by an agency on its employees or on entities or persons it serves.	US							



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MDA203	5.1.005	Postage Records	Records and reports of postage expenses, including postal meter usage.	FE	3						
MDA204	5.1.007	Requisitions for In-Agency Copy/Printing Service	Includes word processing and data processing.	AV							
MDA205	5.1.010	Licenses and Permits for Non-vehicles	Does not include licenses and permits issued by an agency as part of its statutory responsibilities.	AC	2			AC = Expiration date of license or permit.			
MDA205-A	5.1.011	Photocopier and Telefax Usage Logs & Reports		AV							
MDA206	5.1.012	Charge Schedules/Price Lists	Schedules of prices charged by an agency for services to the public or other agencies, including any documentation used to determine the charges.	US	3						
MDA207	5.1.013	Insurance Policies. For vehicles, equipment, etc.	For vehicles, equipment, etc. a) Executed, renewed, or amended on or after September 1, 2015.	AC	7			AC = Expiration or termination of the policy according to its terms.			Government Code, 441.1855
MDA207-A	5.1.013	Insurance Policies. For vehicles, equipment, etc.	For vehicles, equipment, etc. b) Executed, renewed, or amended on or before August 31, 2015.	AC	4			AC = Expiration or termination of the policy according to its terms.			Government Code, 441.1855



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MDA207-B	5.1.014	Office Procedures	Any internally distributed manual, guidelines, or similar records that establish standard office procedures for an agency; for example, agency style manuals, telephone protocols, mail room procedures, print shop and photocopy ordering instructions.	US	1						
MDA208	5.1.015	Correspondence Tracking Records	Any record created by an agency to track any type of incoming and outgoing correspondence or packages by the U.S. Postal Service or by private couriers.		1						
MDA208-A	5.1.016	Records series now included in 1.1.057.								See 1.1.057.	
MDA209	5.1.017	Contract Log	List of agency contracts, leases, and agreements including general obligation, land lease, utilities, and construction contracts.	FE	3						
MDA210	5.2.	Physical Plant Maintenance Records In house Contractor			3						
MDA211	5.2.	Physical Plant Maintenance Records Outside Contractor			5						



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MDA212	5.2.	Physical Plant Maintenance Records Outside Contractor Projects/Task Force			5						
MDA213	5.2.	Physical Plant Maintenance Records Outside Contractor Sterilizer Charts			5						
MDA214	5.2.	Physical Plant Maintenance Records Outside Contractor. No Charge & Gift Items Inventory			5						
MDA215	5.2.	Physical Plant Maintenance Records Outside Contractor. Radio Assignment			5						
MDA216	5.2.	Physical Plant Maintenance Records Outside Contractor. Research Division Renovation Project		LA	5						
MDA217	5.2.001	Appraisals -Building or Property		AV					O		
MDA218	5.2.002	Building Construction Project Files	Planning, design, and construction records; accepted and rejected bids; correspondence; etc.	AC	10			AC = Completion of project.	O	SEE ALSO item numbers 5.2.003 and 5.2.028.	



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					Years	Months	Days				
MDA219	5.2.003	Building Plans and Specifications	Includes architectural and engineering drawings, profiles, and blueprints.	LA					O	Note: State Owned Buildings Only SEE ALSO item numbers 5.2.002 and 5.2.028. ARCHIVES NOTE: Archival review designation is for state-owned buildings only.	
MDA219-A	5.2.003	Building Plans and Specifications	Includes architectural and engineering drawings, profiles, and blueprints.	AC	2			AC = Termination or cancellation of lease.	O	Note: Leased Buildings Only SEE ALSO item numbers 5.2.002 and 5.2.028. ARCHIVES NOTE: Archival review designation is for state-owned buildings only.	
MDA219-B	5.2.004	Building Space Requests			1						
MDA220	5.2.005	Calibration Records (Equipment or Instrument)			10						Per Texas Regulation for Control of Radiation, Part 32
MDA220-A	5.2.006	Property Destruction, Certificates of		FE	3						
MDA221	5.2.007	Damage Reports. Reports of damage to state property	Reports of damage to state property.	FE	3					Auto Accident Records Forwarded to UT System.	



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					Years	Months	Days				
MDA222	5.2.008	Equipment History File; Equipment Service Agreements	Agreements or contracts between the agency and equipment vendor to provide maintenance service for equipment. Includes requests for installation, moves, service, etc.; and service/repair logbooks, etc. a) Executed, renewed, or amended on or after September 1, 2015.	LA	7			Agreements or contracts between the agency and equipment vendor.		For service agreements or contracts related to equipment repairs and service, retain in accordance with item number 5.1.001.	Government Code, 441.1855
MDA222-A	5.2.008	Equipment History File; Equipment Service Agreements	Agreements or contracts between the agency and equipment vendor to provide maintenance service for equipment. Includes requests for installation, moves, service, etc.; and service/repair logbooks, etc. b) Executed, renewed, or amended on or before August 31, 2015.	LA	3			Agreements or contracts between the agency and equipment vendor.		For service agreements or contracts related to equipment repairs and service, retain in accordance with item number 5.1.001.	Government Code, 441.1855
MDA223	5.2.009	Equipment Inventory Detail Report Forms	Updates agency portion of the inventory listing and adds, changes, transfers, or deletes items from inventory.	FE	3						
MDA224	5.2.010	Equipment Manuals		LA							
MDA225	5.2.011	Equipment Warranties		AC	1			AC = Expiration of Warranty.			
MDA225-A	5.2.012	Estimate Files (Supply and Repair Cost Estimates)			1						



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MDA226	5.2.014	Inventory -Annual Physical		FE	3					Copy sent to Texas Higher Education Coordinating Board Once A Year.	
MDA226-A	5.2.015	Inventory, Notices of Equipment Removed From		FE	3						
MDA227	5.2.016	Inventory System Update Listings	Listing shows all additions, changes, deletions, and transfer times for the monthly processing period.	AC				AC = Transfer of information into annual listing.			
MDA228	5.2.017	Lost and Stolen Property Reports		FE	3						
MDA229	5.2.018	Quality Control Reports			2						
MDA230	5.2.019	Service Orders	Agency copy of forms completed by mechanical service personnel for installation or repair. Includes billing code, service, labor, parts, and remarks.		1						
MDA230-A	5.2.020	Supply Usage Records		FE	1						
MDA230-B	5.2.021	Surplus Property Sale Reports		FE	3						
MDA231	5.2.022	Utility Usage Reports		AV							
MDA232	5.2.023	Year-to-Date Activity (Inventory Listing)	Shows additions, changes, transfers, and deletions of information within the inventory system. Data include agency, division, tag number, batch, document, transaction date, location, item code, description, date, and cost.	FE	3						



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MDA233	5.2.024	Material Specifications		AC	2			AC = Material is no longer in the agency.			
MDA233-A	5.2.025	Equipment Descriptions and specifications		AC	2			AC = Equipment is no longer in the agency.			
MDA234	5.2.026	Facilities Reservation Logs	Reservation logs or similar records relating to the use of agency facilities such as meeting rooms, auditoriums, etc.		2						
MDA235	5.2.027	Space Utilization Reports		AV							
MDA236	5.2.028	Building Construction Contract and Inspection Record	Building construction contracts, surety bonds, and inspection records.	LA	35				R	Building construction contracts, surety bonds, PUF bond expenditures and inspection records. See also item numbers 5.2.002 and 5.2.003.	
MDA237	5.3.	Purchasing - Hardware vendors		FE	3						
MDA237	5.3.	Purchasing - Minority vendor statistics		FE	3						
MDA238	5.3.	Purchasing - Software vendors		FE	3						
MDA238-A	5.3.002	Freight Bills Paid		FE	3						
MDA238-B	5.3.003	Freight Claims		AC	2			AC= Resolution of claim.			
MDA239	5.3.004	Order - Acknowledgments		AV							
MDA239-A	5.3.005	Packing Slips		AV							



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MDA241	5.3.007	Bid Documentation	Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, successful and unsuccessful bids, and bid tabulation/evaluations. a) Associated with a contract executed, renewed, or amended on our after September 1, 2015.	AC	7			AC=Expiration or termination of the instrument according to its terms or decision not to proceed with the bid.		SEE related item number 5.1.001 Contracts and Leases and 5.2.028 Building Construction Contract and Inspection Records.	Government Code, 441.1855
MDA241-A	5.3.007	Bid Documentation	Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, successful and unsuccessful bids, and bid tabulation/evaluations. b) Associated with a contract executed, renewed, or amended on our before August 31, 2015.	FE	3					SEE related item number 5.1.001 Contracts and Leases and 5.2.028 Building Construction Contract and Inspection Records.	Government Code, 441.1855



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MDA241-B	5.3.007	Bid Documentation	Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, successful and unsuccessful bids, and bid tabulation/evaluations. C) Unsuccessful bids that do not meet agency submission requirements are not included in bid evaluation process (e.g. withdrawn, missed submission deadline, incomplete submission, etc.).	AC	2			AC=Expiration or termination of the instrument according to its terms or decision not to proceed with the bid.		SEE related item number 5.1.001 Contracts and Leases and 5.2.028 Building Construction Contract and Inspection Records.	Government Code, 441.1855
MDA242	5.3.008	Purchasing Logs	Log, register, etc., providing a record of purchase orders issued, orders received, and similar data on procurement status.	FE	3						
MDA242-A	5.3.009	Requests for Information	Requests for information preliminary to the procurement of goods or services by direct purchase or bid.	AC				AC = Date of direct purchase, or decision not to proceed with the procurement, as applicable.		CAUTION: If the request for information leads to request for proposal or bid, see item number 5.3.007.	
MDA243	5.4.	Risk Management- Area Survey		PM						TX Dept. of Health; Bureau of Radiation Control	
MDA244	5.4.	Risk Management- Asbestos Abatement Reports			30						



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MDA245	5.4	Risk Management- Bioassay		PM						Monitoring of employees for the intake of radioactive material. TX Dept. of Health; Bureau of Radiation Control.	
MDA246	5.4.	Risk Management- Disposal Summary		PM							
MDA247	5.4.	Risk Management- Effluent Concentration		PM							
MDA248	5.4.	Risk Management- EPA Hazardous Waste Manifests		AC	3			AC = 3 years or until signed copy from the designated facility which received the waste. The signed copy must then be retained for 3 years.			40 CFR 262.40 & 40 CFR 262.23(a)
MDA249	5.4.	Risk Management- Exception Report		AC	4			AC = Due date of the report.		Document sent to the EPA (Environmental Protection Agency) if a generator does not receive the original manifest within 35/45 days.	
MDA250	5.4.	Risk Management- Isotopes - Authorization Codes, Amounts		PM							
MDA251	5.4.	Risk Management- Isotopes Application - Human & Non-Human Use		PM							
MDA252	5.4.	Risk Management- Isotopes Committee Minutes		PM							



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MDA253	5.4.	Risk Management-Isotopes-Authorization Codes, Amounts		PM							
MDA254	5.4.	Risk Management-Package Surveys			5					Radioactive contamination and dose rate surveys that have been performed on incoming radioactive material packages. TX Dept. of Health. Bureau of Radiation Control.	
MDA255	5.4.	Risk Management-Personnel Daily Exposure		AC	30			AC = Termination of employment.			
MDA256	5.4.	Risk Management-Personnel Radiation Exposure History		PM							
MDA257	5.4.	Risk Management-Pesticide Use			5						
MDA258	5.4.	Risk Management-Radiation Producing Machine Surveys		PM							
MDA259	5.4.	Risk Management-Radiation Source Inventory (Logbook)			5						
MDA260	5.4.	Risk Management-Radioactive Drug Research Committee Minutes		PM							
MDA261	5.4.	Risk Management-Radioisotope Applications		PM							



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MDA262	5.4.	Risk Management- Safety Management Plans		US							
MDA263	5.4.	Risk Management- Sealed Source Leak Test				5					
MDA264	5.4.	Risk Management- Spill Reports				30					
MDA265	5.4.	Risk Management- Test Result, Waste Analysis		AC	3			AC = Date sent to waste treatment, storage, or disposal facility.			40 CFR 262.40 & 40 CFR 262.11
MDA266	5.4.	Risk Management- Waste Manifest				5					40 CFR 262.70(a). 30 TAC 335.70(a) Audit Purposes
MDA267	5.4.001	Accident Reports and Associated Documentation	Accident or occupational disease reports (by supervisors and employees) and other associated reports required to be submitted to the Texas Department of Insurance or its predecessors or maintained internally on accident frequency.	CE	5					Texas Department of Insurance retains copies of the reports submitted for 50 years.	29 CFR 1904.33.
MDA268	5.4.002	Evacuation Plans	Plans for evacuation of agency facilities in cases of emergency.	US							
MDA269	5.4.003	Inspection Records	Fire, safety, and other inspections records of agency facilities and equipment.	AC	3			AC = Inspection, or date of the correction of the deficiency if the inspection report reveals a deficiency.		CAUTION: Does not include inspection reports of building construction. SEE item number 5.2.028.	
MDA269-A	5.4.004	Fire Orders	Orders issued by Fire Marshal to correct deficiencies in compliance with the fire code.	AC	3			AC = Deficiency corrected.			



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MDA270	5.4.007	Hazardous Materials Training Records	Records of training given employees in an agency hazard communications program.		5						Texas Health and Safety Code, 502.009(g).
MDA271	5.4.008	Hazard Communication Plans		US	5						Texas Health and Safety Code, 502.009(g).
MDA272	5.4.009	Workplace Chemical Lists			30						Texas Health and Safety Code 502.005(d)
MDA273	5.4.010	Material Safety Data Sheets		AC	3			AC = After sheets are updated or hazardous chemical no longer stored by agency, as applicable.			
MDA274	5.4.011	Visitor Control Registers	Logs, registers, or similar records documenting visitors to limited access or restricted areas of agency facilities.	FE	3						
MDA275	5.4.012	Security Access Records	Records relating to the issuance of keys, identification cards, building passes, passwords, signed statements or similar instruments of access to agency or state facilities, equipment or automated systems.	AC	2			AC = Until superseded, date of expiration, or date of termination, whichever is sooner.			
MDA276	5.4.013	Disaster Preparedness and Recovery Plans		US							
MDA277	5.5.001	Billing Detail - Telecommunications (Other Than TEX-AN)	In addition to summary detail, includes any accompanying detailed listing of long distance calls.	FE	3					SEE item number 5.5.006 for TEX-AN billing detail.	



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MDA278	5.5.002	Long Distance Telephone Logs	Long distance logs created by agencies for internal documentation purposes. Includes any similar logs created for long distance facsimile or electronic transmissions.	AV							
MDA279	5.5.003	Station Activity Reports	Internal listing of incoming/outgoing telephone activity to individual telephone stations.	AV							
MDA279-A	5.5.004	System Activity Reports	Internal listing of all incoming/outgoing agency telephone activity.	AV							
MDA279-B	5.5.006	Billing Detail - Telecommunications (TEX-AN)	In addition to summary detail, includes any accompanying detailed listing of long distance calls.	FE	3					The billing agency will maintain all long distance TEX-AN records and will provide each using agency its bill summary of centralized capitol complex telephone service without call detail records. For these bill summaries, SEE item number 4.7.011. SEE item number 5.5.001 for billing detail from carriers other than TEX-AN.	
MDA279-C	5.5.007	Disputed Call Documentation	Documentation relating to disputed long distance calls, including documents evidencing repayment by employees for personal long distance use.	FE	3						



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MDA279-D	5.6.001	Airplane Flight Logs		LA	3					Note: State Owned	
MDA279-E	5.6.001	Airplane Flight Logs		FE	3					Note: Leased	
MDA279-F	5.6.002	Airplane Passenger Lists		FE	3						
MDA280	5.6.003	Inspection Repair and Maintenance Records - Vehicles		LA	1						
MDA281	5.6.004	License and Driving Record Checks		AC				AC = Until superseded or until termination of employment.			



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MDA282	5.6.005	Vehicle Use Reports	Includes mileage, fuel/oil consumption, passengers carried and other related operational information.	FE	3						
MDA283	5.6.007	Vehicle Titles & Registrations		LA							
MDA823-A	5.6.008	Pilot License Verifications		AC	5			AC = Termination of employment.			
MDA284	5.6.009	Parking Permits or Assignments		US							
MDA285		Medicare/Medicaid Guidelines		US	1					Medicare Hospital Manual, HIM-10, Sec. 413 (B) [Rev. No. 572].	
MDA286		Radiation Control Records			5						25TAC§289.202(g) (5)
MDA287		Immunization Record and Consent Forms - Adults		AC	10			AC = 10 years following end of calendar year in which consent form was signed.			
MDA288		Immunization Record and Consent Forms - Minors		AC	10			AC = 21st birthday or 10 years following end of calendar year in which consent form was signed, whichever is later.			
MDA289		Patient Records			5						
MDA290		Screening Procedures		AC	5			AC = After the last date on which service was given or until the patient's 21st birthday, whichever later.			
MDA291		Quarantine Records		AC	3			AC = After quarantine lifted.			



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MDA292		Sanitary Evaluation Reports			3						
MDA293		Manufacturing And Repackaging Information			5						21 CFR 1304.04(a); Tex. Health and Safety Code, 481.067(a). 37 TAC 13.61 (a);37 TAC 12.64(g).
MDA294		Narcotic Registration			5						21 CFR 1304.04(a); Tex. Health and Safety Code, 481.067(a). 37 TAC 13.61 (a);37 TAC 12.64(g).
MDA295		Rural health care clinics certified for participation in Medicare		AC	6			AC = date of last entry.			42 CFR 491.10(c).
MDA296		Blood Bank Records	(Inspection of Incoming Blood & Blood Components and Critical Materials Reagent, Lab Data/Test from Blood Bank).		5						American Association of Blood Banks -4.3; 21 CFR 606.160 (d)
MDA297		Blood Bank Records	(Lab Med Reports & Blood Bank Transfusion Histories).		12						



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MDA298		Blood Bank Records	(Look back Docs, Patient Record - Transfusion Event, Unique Identify of Each Unit & Components, Inspection Results(FDA - Food and Drug Administration, (AABB) American Association of Blood Banks, CAP-College of American Pathologists, TJC-Th.	PM						American Association of Blood Banks - 5.2.4; Food And Drug Administration, College of American Pathologists.	
MDA299		Blood Bank Records	(Progress Reports)		8						
MDA300		Blood Bank Records Unit/Pool/Issue Cards			7						
MDA301		Blood Bank Records Valid, Review & Approval of New Doc & Processes			5						
MDA302		Blood Bank Records			10						
MDA303		Electrocardiograms (EKG) - Xenon Reports			10						
MDA304		Electroencephalograms (EEG)- EEG Tracings		PM							
MDA305		Pathology Reports and Slides- CAP (College of American Pathologists) Proficiency		PM						CAP Requirements.	
MDA306		Pathology Reports and Slides- Pathology Reports			10						
MDA307		Radiological Services - Computer Tomography		AC	10			AC = Last date of service or patient's 20th birthday, whichever is later.			Texas Health and Safety Code 241.103



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MDA308		Radiological Services-Diagnostic Radiology Examinations		AC	10			AC = Last date of service or patient's 20th birthday, whichever is later.			Texas Health and Safety Code 241.103
MDA309		Radiological Services-Isotope Plans & Worksheets (Dosage)			5						
MDA310		Radiological Services-Magnetic Resonance		AC	10			AC = Last date of service or patient's 20th birthday, whichever is later.			Texas Health and Safety Code 241.103
MDA311		Radiological Services-Nuclear Medicine Scans		AC	10			AC = Last date of service or patient's 20th birthday, whichever is later.			Texas Health and Safety Code 241.103
MDA312		Registers of Tests			5						
MDA313		Requests for Tests			5						
MDA314		Requests for Tests-Reference Lab Send outs			7						
MDA315		Test Results - Immunocytochemistry Reports			3					Exempt from destruction request requirement.	
MDA316		Test Results- Lab Results/Comp. Printout, experiments			5						
MDA317		Test Results- Reference Lab Test Results			2						
MDA318		Test Results- Specimen Reports		PM							



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MDA319		Test Results- WQM (Work Queue Management) GEN S Tests Results			4					Coulter GEN S (Measuring Instrument).	
MDA320		Logs and Registers			5						
MDA321		Logs and Registers - SDMCC (Statistical Data Management Coordinating Center) Code Sheets			15					Research study.	
MDA322		Logs and Registers - Surgical Log Book		PM							
MDA323		Logs and Registers - Surgical Index			15						
MDA324		Case Records- Casebooks			4						
MDA325		Sterilization Documentation			2					Documents of instrument sterilization process.	
MDA326		Admission and Discharge Reports			3						
MDA327		Controlled Substance and Dangerous Drug Records- 24-Hour Controlled Drug Dispensing			5						



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					Years	Months	Days				
MDA328		Controlled Substance and Dangerous Drug Records-Outpatient		AC	2			AC = Date of filing or the date of the last refill dispensed.			Tex. Health and Safety Code ss481.075(f); Texas Health and Safety Code ss483.023; 37 TAC 13.64(b)(1).
MDA329		Controlled Substance and Dangerous Drug Records-Inpatient		AC	10			AC = If a minor, after the patient's 20th birthday, or 10 years after the last date on which service was given, whichever is longer.			37 TAC 13.65 (c)(2) Texas Health and Safety Code, ss241.103.
MDA330		Infection Control and Monitoring Records-Infection Control Results			10						
MDA331		Nursing Services Reports			5						
MDA332		Security Records			5						
MDA333		Anesthesia Records		AC	3			AC = Date of last treatment or for patients under 18 years of age when last treated, the patient's 14th birthday (so the record is kept at least until the patient's 21 birthday.			
MDA334		Patient Data-Statistical			10						
MDA335		Abnormal Differentials, Specimen Smears			1						
MDA336		Acceptance Letters - Applicants - accepted		AC	5			AC = After Termination of Employment.			



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MDA337		Acceptance Letters - Applicants - not accepted		AC	1			AC = After Application Term.			
MDA338		Adverse Drug Reaction		PM							
MDA339		Application for Residency		AC	5			AC = Termination of Employment or date application denied.			
MDA340		Bladat Forms (Patient Information)		PM							
MDA341		Bone Marrow History Upload		AC	7			AC = After completion.			
MDA342		Bone Marrow Reports-Expired			50						
MDA343		Bone Marrow Requisition Forms		AC	7			AC = After completion.			
MDA344		Case Disposition Report		PM							
MDA345		CEA (Carcinogenic Embryonic Antigen)			15					Research study	
MDA346		Cellularity Sheets		AC	7			AC = After completion.			
MDA347		Charge Description File			1						
MDA348		Compassionate IND (Investigational New Drug) (Experimental Drugs On Dying Patients)			3						
MDA349		Consent Forms (Child)		AC	10			AC = Date of last service, or the patient's 20th birthday, whichever is later.			Texas Health Code Section 241.103.



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MDA350		Consent Forms(Adult)		AC	10			AC = Date of last service, or the patient's 20th birthday, whichever is later.			Texas Health Code Section 241.103.
MDA351		Consult Forms		AC	10			AC = Date of last service, or the patient's 20th birthday, whichever is later.			Texas Health Code Section 241.103.
MDA352		Credentials File for Practitioners		PM							
MDA353		Daily Logs, Patient Worksheets		AC	10			AC = Date patient was last treated.			Texas Hospital Licensing Law, Texas Health & Safety Code Ann. Section 241.10(v. 1992); Texas Board of Medical Examiners, 22 Texas Administration Code Section 165(c).
MDA354		Delineation of Clinical Privileges		PM							
MDA355		Electron Micrograph, Patient Photo		PM							
MDA356		Electron Micrographs (Microscopic Photos)		PM							
MDA357		Electron Microscopy Preparation		PM							



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MDA358		Expired Patient BMT (Bone Marrow Transplant) Reports			50					Some contain Articles by Physicians.	
MDA359		Human Electron Microscopy			5						
MDA360		Incident Report			5						
MDA361		Intergroup Hodgkin's Disease			10					Research Study	
MDA362		Intergroup Hodgkin's Disease X-Ray Films			10						
MDA363		Internal Affairs Records		PM							
MDA364		Journals		AV					I	Cancer Treatment Reports (Historical).	
MDA365		Lab Copies			10					Research Test Results.	
MDA366		Lab Reports Originating In Microbiology			10						
MDA367		Major Donor Tracking Reports			3					Development Keeps Original & Sends Copy to Donor.	
MDA368		Medical Records - Adult Patients		PM							
MDA369		Medical Records - Child Patients		PM							
MDA370		Medical Records Of Students		AC	10			AC = Graduation or date of last attendance.			
MDA371		Medical Slide Log			2						
MDA372		Melanoma (Patient Files)			10						



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MDA373		Memberships (Member Lists)		PM						Reference to President Council Board of Visitors. The Board of Visitors shall consist of (a) seventy five(75) members and an unspecified number of (b) Members at Large (c) Associate Members (d) Senior Members, and (e) Life Members, as well as (f) Ex-officio Members including the President and Executive Vice President of The University Cancer Center and the Chancellor of The University of Texas System (collectively, "Membership").	
MDA374		Mental Health (Patient Neuro-Psychiatric Evaluations)		AC	10			AC = Date of last treatment and until 20th birthday for minors.			
MDA375		Microbiology Work Cards			2					Medicare Requirement	
MDA376		Micro photos		PM							
MDA377		National Hodgkin's Study Patient Records		PM							
MDA378		Negatives (Electron Micrographs)		PM							
MDA379		Neuropsychiatry Patient Records		PM							



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MDA380		Neuropsychological Evaluations		PM							
MDA381		Non Human Electron Microscopy			5					Research study	
MDA382		Numerical Reports-Expired			50						
MDA383		Offense Report		AC				AC = Statute of Limitations.			
MDA384		Operative Reports		PM							
MDA385		Out Patient Daily Schedule			1						
MDA386		Pain Clinic Consultations		PM							
MDA387		Patient Classification Statistics			3						
MDA388		Patient Data-Statistical			10						
MDA389		Patient Evaluation Forms		AC	10			AC = Date of last treatment and until 20th birthday for minors.			
MDA390		Patient Files - Adult		AC	10			AC = Date patient was last treated.			
MDA391		Patient Files - Minor		AC	10			AC = Until Patient's 21st Birthday.			
MDA392		Patient Pedigree Data (Family Tree Maps)		PM							
MDA393		Patient Referrals-Report		AC	10			AC = Date report completed.			
MDA394		Patient Reports		PM							
MDA395		Patient Slides-Adult		PM							
MDA396		Patient Slides-Child		PM							
MDA397		Patient Studies		AC	5			AC = completion of protocol.			



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MDA398		Patient Study Reports		PM							
MDA399		Patient Transfusion Data			5						
MDA400		Patients Graphs		AC	10			AC = Date of last service, or the patient's 20th birthday, whichever is later.			Texas Health & Safety Code Section 241.103
MDA401		Photo Requests - Patient			3						
MDA402		Plastic Embedded Blocks		PM							
MDA403		Podat Forms		PM							
MDA404		Primary Medical Evaluations		PM							
MDA405		Priority List (List of Protocols)			3						
MDA406		Projects		AC	5			AC= Term of Projects.			45 CFR 46.115(b)
MDA407		Protocol Information		AC	5			AC = After close of Protocol.			
MDA408		Protocol-Research, Basic			5						45 CFR 46.115
MDA409		Protocols		PM							
MDA410		Psychic Sessions, Cassettes		AC	3			AC= Completion of research.			45 CFR 46.115(b)
MDA411		Radium & Gold Grain Implants		PM							
MDA412		Rendat Forms		PM							
MDA413		Request for Research With Patient (PI)		FE	3					Pending Financial Record Then Medical Record.	



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*MDA414	17.3.012	Research Non-Grant funded Non-Regulated Data and Reports	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.	AC	7			AC = After completion of research project.		URRS-281 For research data related to grant-funded or sponsored research, see URRS 17.3.014. Caution: Does not include research data related to research that is grant-funded or done under state or federal contract. See record series number 17.3.014 and 17.3.013.	
MDA415		Residence / ASHP			50					ASHP = American Society Of Hospital Pharmacy.	
MDA416		Residency Files - Accepted		AC	5			AC = Term of Application.		Contains CV (Curriculum Vitae), Medical Degree, Payroll, Education, Evaluations, and Experience log.	
MDA417		Residency Files - Not Accepted		AC	1			AC = Term of Application.		Contains CV (Curriculum Vitae), Medical Degree, Payroll, Education, Evaluations, and Experience log.	



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

1. Agency Code: 506		2. Agency Name: UT MD Anderson Cancer Center									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
MDA418		Routine Differentials, Specimen Smear		US							
MDA419		Signal 10 Notices		US						List of Police Communication Codes.	
MDA420		Slides (Photo) - Patient		AV							
MDA421		Slides-Non Patient		AV							
MDA422		Special Chemistry		7						Laboratory worksheets with test results.	
MDA423		Specimen Log Books		PM							
MDA424		Spinal Fluid Differentials, Specimen Smears			5						
MDA425		Stop Date Listing		AC	5			AC = After completion.			
MDA426		Student Files - Accepted		AC	5			AC = Term of Enrollment.			
MDA427		Student Files - Not Accepted		AC	1			AC = Term of Application.			
MDA428		Swallowing Research Videos		AC	5			AC = After completion.			
MDA429	1.1.040	Symposiums		AC				AC = Termination of Service.	R		
MDA430		TENS Consignment/TENS/NMS (Transcutaneous Electrical Nerve Stimulation/Neuro Muscular Stimulation)		AC	4			AC = Expiration or termination of the agreement.			
MDA431		Tenure Density Records		PM							
MDA432		Valuables Description Patient			3						
MDA433		Verification Letters (Correspondence)		AC	5			AC = Graduation of date Attendance.			



STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

Retention Codes (field 7)

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 LA – Life of Asset
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MDA434		Walk-Ins - Monthly Lists		US						Patients that come in without an appointment.	
*MDA435		Institutional Compliance Final Investigation Reports	A compliance investigation is one of the formal compliance monitoring methods under hospital compliance program as defined by the Office of Inspector General and Federal Sentencing Guidelines.	FE	7						
*MDA436	17.3.013	Research Grant Records - Research Report	These records relate to final research reports (progress and final) submitted to a state or federal granting agency for grant-funded or state or federal contract funded research projects.	AC	7			AC = Expiration or termination of the grant or agreement according to its terms and submission of final expenditure report.	O	URRS-287 CAUTION: Grants may have individual guidelines for retention. Records must be retained in accordance with guidelines of grant or contract.	NIH Grants Policy Statement, 2 C.F.R. Part 200, 45 C.F.R. Part 75, 2 C.F.R. Part 1104



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*MDA437	17.3.014	Research Grant Research Data and Reports – Regulated Non-Clinical research	This records series documents funded research grant proposals, and research activity associated with regulated non-clinical (other than research subject to FDA Good Laboratory Practice regulations) sponsored or grant-funded projects. Records may include but are not limited to: Investigator's notebooks; research data; protocols; contracts; surveys or questionnaires; and any other related documentation or correspondence.	AC	7			AC = Expiration or termination of the grant or agreement according to its terms and submission of final expenditure report.		URRS-296 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.	NIH Grants Policy Statement, 2 C.F.R. Part 200, 45 C.F.R. Part 75, 2 C.F.R. Part 1104



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					Years	Months	Days				
*MDA438	17.3.014	Research Grant Research Data and Reports – Regulated Clinical research	This records series typically includes but is not limited to: Research data and documentation gathered or created in the course of sponsored or grant-funded clinical trial; includes case history records; proposal, protocol, and amendments to the agreement; patient care data; clinical procedures; FDA forms; serious adverse events reports; consent forms and selection criteria.	AC	10			AC = After (i) a marketing application is approved for the investigational agent or (ii) if a marketing application is not approved for the investigational agent, after shipment and delivery of the investigational agent is discontinued and FDA has been notified.		The regulatory retention period is 2 years. Need to consult with Legal Services as to retention obligations in contracts with IND sponsors or other sponsors.	NIH Grants Policy Statement, 2 C.F.R. Part 200, 45 C.F.R. Part 75, 2 C.F.R. Part 1104, 21 C.F.R. Part 312